The information contained in this edition of the *LC Descriptive Cataloging Manual (DCM)* **Section Z1** is current as of November 2002.   An online edition is available through Cataloger's Desktop; for more information visit LC's Cataloging Distribution Services home page at: (http://www.loc.gov/cds/).

Please print out and copy on yellow paper (if possible) and interfile in the *MARC 21 Authority Format.*

12/05/02

DESCRIPTIVE CATALOGING MANUAL

Z1: NAME AND SERIES AUTHORITY RECORDS

Prepared by the

Cataloging Policy and Support Office

Library of Congress

UNITED STATES GOVERNMENT

Memorandum

LIBRARY OF CONGRESS

TO: DCM recipients   DATE: November 27, 2002

FROM: Barbara B. Tillett, Chief
        Cataloging Policy and Support Office

SUBJECT: Revision of *LC Guidelines* to the MARC 21 Format for Authority Data: 086 (p. 1);
          Revision of *DCM Z1*: Introduction (p. 7-8), 1XX (p. 2), 4XX (p. 2), 5XX (p. 1), 642 (p.
1),
          Appendix for Canadian headings (p. 3, 6, 21)

        The revision to the *LC Guidelines* ("blue pages") documents the change in the NACO
decision for field 086.

        The revisions to *DCM Z1* ("yellow pages") are related to changes in Revision 2002 of
AACR2 and associated LCRIs. Information in the Appendix for Canadian headings has been
updated.

UNITED STATES GOVERNMENT

Memorandum

TO: DCM recipients   DATE: May 21, 2002

FROM: Barbara B. Tillett, Chief
        Cataloging Policy and Support Office

SUBJECT: Revision of DCM Z1: Contents (p. 1), 008/11 (p. 1), 008/15 (p. 1), 016 (p. 1), 042 (p. 1),
          053 (p. 1), 1XX (p. 2), 644 (p. 4), 667 (p. 2-6), 670 (p. 3, 8-9), 7XX (p. 1-2), Appendix for
          Canadian headings (p. 1-21)

Some pages in this update are additions to DCM Z1. Other pages are revisions to add information and correct
errors. The additions and major revisions are summarized below.

    008/11 -- new page on subject heading system
    008/15 -- new page on subject heading usage
    016 -- new page on national bibliographic agency control number
    042 -- new page on authentication code
    053 -- new page on addition of LC classification number
    1XX -- revised page with information about series vs. series-like phrase change
    644 -- revised page with new section on not-analyzable volumes
    667 -- revised pages with information about earlier not-analyzable publication and new section on
subject usage
    670 -- revised pages with clarification of citation for electronic resource being cataloged and revision
of BGN section
    7XX - new pages on 7XX headling linking entries
    Appendix for Canadian headings – revised pages with changes in procedures required by LC's
implementation of Voyager 2000

CONTENTS

INTRODUCTION

These instructions address the creation and update of name and series authority records. They do not address subject authority records. For the purposes of this document, "authority record" applies to both name and series authority records. "Authority file" applies only to the name and series authority records which constitute the national authority file (NAF).

LC staff members and libraries participating in the Name Authority Cooperative (NACO) component of the Program for Cooperative Cataloging (PCC) contribute records to the authority file. In addition to being available online at LC, the authority file is available to NACO participants through the OCLC and RLIN utilities.

In constructing headings/references and recording information, NACO participants and LC catalogers not working in the LC Database may make use of all records on the file against which the searching and cataloging is being done: OCLC, RLIN, etc. NACO participants may choose to use only LC records found on the file being searched. For LC catalogers working in the LC Database, the file is the set of records comprising the "LC database" (see 670 yellow pages). In this document, "database" refers to whatever file is being used for searching and cataloging. At times, LC staff may need to consult the manual Official Name Catalog (ONC).

Use this document (DCM Z1) in connection with AACR 2, *Library of Congress Rule Interpretations* (LCRI), and other sections of the Descriptive Cataloging Manual (DCM). It supplements the *USMARC Format for Authority Data* and generally does not repeat information found in the format. Interfile the pages of this document with the appropriate pages of the format; the pages of this introduction through the pages "MARC 21 fields ..." can be filed after the introduction section in the format. The examples are given in MARC 21 style; an exception is the use of a blank space before and after the delimiter/subfield code combination. The symbol "#" represents a blank in an indicator position; the symbol "$" is used for the delimiter.

This "Introduction" section covers the following topics:

- Name authority records (NARs)
- Series authority records (SARs)
- Additions and changes to authority records
- NACO normalization
- Should an SAR be made?
- How many SARs should be made?
- Series statement appears only on CIP data sheet at galley stage
- Priorities for series/multipart items
- Searching series

Name authority records (NARs)

A name authority record has the following basic contents: 1) the authorized form of name chosen for use in headings, 2) the sources for this form and for variant forms, and 3) the cross references leading to the heading from variant forms or from related headings. Additional information may be recorded in fixed fields and in note areas of the authority record. Control data and content designation are also included for proper identification and manipulation of the data.

Generally, make a name authority record for any personal or corporate (including geographic) name heading that <u>may</u> be used as a main or added entry heading, whether it is actually first used as (or as part of) a main entry heading, a secondary entry (including a subject entry), or in certain cross references (e.g., hierarchy 4XX references, 5XX references). NARs are not made for personal names when the only clue to the person's identity is a nonalphabetic or nonnumeric device, or for entities that may be used only as subject entries, e.g., topical subject headings, fictional characters, animals.

LC practice: For titles or name/titles (other than series, see below), an authority record is required <u>only</u> when one or more of the conditions listed below applies. Apply these criteria to each element of the full heading (main title, language, part, etc.) and make a separate authority record for each element that meets the criteria. Note: Authority records are <u>not</u> automatically created for each element of a uniform title heading.

(1)   a reference must be traced on **that** authority record; or,
(2)   special research done to establish that heading must be recorded (Note: In this context the LC manual Official Name Catalog is treated as a reference source; so searches in that catalog should be recorded in the authority record); or,
(3)   the heading is needed for a <u>related</u> work added or subject entry, and the work is not represented in the LC database either by a bibliographic record for the work itself (original or translation) or by an analytical added entry on another bibliographic record; or,
(4)   special information needs to be recorded, e.g., citation title for a law;

LC music cataloging practice: As of August 16, 1999, authority records are created for ALL title and name/title headings.

NACO participants may contribute name authority records for titles or name/titles (other than series, see below) as needed for cataloging.

Series authority records (SARs)

LC practice: Make a series authority record for all monographic series, analyzable or partially analyzable multipart items, all occasionally analyzable serials other than monographic series, and series-like phrases that may be construed by some to constitute a series.

NACO participants may contribute series authority records for categories noted in paragraph above; they may contribute series authority records for not-analyzable multipart items according to local decisions.

A series-like phrase record also can be made to record information of general interest or application, e.g., the 1XX in the record is an imprint rather than a title.

A series authority record has the following basic contents: 1) type of series code (i.e., monographic series, analyzable multipart item, a serial other than a monographic series, series-like phrase), 2) form of heading, 3) series treatment (classification, analysis, and tracing), 4) series numbering, 5) an LC call number, if classified as a collection, 6) place of publication and publisher/issuing body, 7) the source(s) on which the form of series heading is based, 8) cross references leading to the heading from variant forms and from/to related headings. Additional information may be recorded in fixed fields and in note areas of the authority record. Control data and content designation are also included for proper identification and manipulation of data.

Until 1983, series authority records created at LC, for the most part, reflected solely LC holdings and practices. However, now the authority file is a national authority file that accommodates not only LC holdings and practices, but those of other institutions as well.

Series treatment information reflects institution-specific decisions. Therefore, the fields containing series treatment information require the identification of institution(s) following that practice. Since series treatment decisions in an institution can change, certain series treatment fields provide the means for indicating variations in practice within an institution.

Additions and changes to authority records

Almost as common as the need for a new authority record is the need to alter an existing record. New information can be received in various ways (e.g., new cataloging, investigation in response to a query) and may be significant enough to add to the permanent authority record.

Normally a new reference or a change in heading must be justified by the addition of new information to the authority record. Many other types of data can be added to the authority record when judged useful for proper identification.

Change an authority record when errors in headings or cross references are discovered. When the published work for an item cataloged through the CIP program shows a change in the form of name of a person, corporate body, uniform title, or series, change the authority record; add the published source after the CIP source in the 670 field to document the change. Changes in the imprint date, choice of main entry, and changes in title proper do not require changes to authority records created for CIP items.

LC practice: Do appropriate bibliographic file maintenance if changing the 1XX heading. *NACO practice:* If changing the 1XX heading, report the need for bibliographic file maintenance to the Cooperative Cataloging Team, RCCD.

Code uncoded headings for AACR2 at the first instance of use. Refer authority records for headings that are totally invalid under AACR2 to the Cataloging Policy and Support Office (CPSO).

Series authorities contributed by NACO libraries may or may not reflect LC treatment decisions; see the section "National level/NACO treatment decisions and LC actions" in the 64X

yellow pages for specific information about presence/absence of LC treatment decisions. *LC practice:* When cataloging the first item for LC, add any missing treatment decisions for LC.

NACO normalization

        The Research Libraries Group (RLG) has in place computer software that compares headings and see references in the authority file to determine if there is duplication.

        This comparison relies on a process called *normalization,* a computer edit designed to eliminate all but the essential characters of a heading for the purpose of the comparison. All parties involved in the exchange of authority data have agreed to the rules for normalization. The process of normalization removes all diacritics and most punctuation, and converts all letters to uppercase and all modified letters to their unmodified equivalents. Subfield delimiters (but not subfield codes) are retained in the normalized form. The normalized form of heading differs from the authorized catalog form of the heading. For example:

> Catalog form: Ile-de-Montréal (Québec)
> Normalized form: ILE DE MONTREAL QUEBEC

        Only normalized forms of headings and references are compared in the check for uniqueness. Normalized forms that match are considered duplicate headings or a see reference in conflict with an authorized heading.

        The only mark of punctuation that is retained during normalization is the first comma in subfield $a. This exception means that the following two headings normalize to different forms:

> Catalog form: Chung, Hui
> Normalized form: CHUNG, HUI
>
> Catalog form: Chung-hui
> Normalized form: CHUNG HUI

To conform to the NACO standard, participants must adhere to the following policies:

Headings. Because headings that differ only in diacritics, marks of punctuation (except the first comma, as stated above), capitalization, or special characters normalize to the same form, they are considered to conflict and must be further distinguished. If personal names cannot be distinguished, create an undifferentiated personal name authority record. The heading can represent only one form of the name (it does not matter which), but the 670 fields for each person should make it clear what the catalog entry form should be, and that form, not necessarily the form in the 100 field, should be used in the entry on the bibliographic records. For example:

> 100 1# $a Ku, Chun
> 400 1# $a Gu, Zhun
> 400 1# $a Gu, Qun
> 670 $a [Editor of Hsia jih ti hui i]

670   $a Lo, Y.L. Hsia jih ti hui i, 1977: $b t.p. (Ku
         Chün)
670   $a [Joint author of Chung-kuo cheng fu k'uai chi chih
         tu]
670   $a P'an, H.L. Chung-kuo cheng fu k'uai chi chih tu,
         1941: $b t.p. (Ku Chun)

Form of entry on bibliographic records for the first author: Ku, Chün.

Form of entry on bibliographic records for the second author: Ku, Chun.

See References. Do not trace a 4XX reference that normalizes to the same character string as an existing authorized 1XX heading in the national authority file, including the heading in the record to which the reference is made. This policy also applies to the *optional* linking references. If a linking reference and the heading in the same record normalize to the same form, do not trace a 4XX linking reference. Instead, give the old catalog heading in a 667 field preceded by the phrase: Old catalog heading:.

            100 0# $a Napoleon $b I, $c Emperor of the French, $d 1769-
                 1821
            667     $a Old catalog heading: Napoléon I, Emperor of the
                 French, 1769-1821
not   400 0# $w nnaa $a Napoléon $b I, $c Emperor of the French,
               $d 1769-1821

            130 #0 $a Archives of toxicology. $p Supplement
            667     $a Old catalog heading: Archives of toxicology :
                 Supplement
not   430 #0 $w nnaa $a Archives of toxicology : $p Supplement

but   151 ## $a Birmingham (Ala.)
            451 ## $w nnaa $a Birmingham, Ala.
                 (This linking reference is permitted because the comma in the $a subfield
                 makes the heading unique.)

            110 2# $a United States Information Agency
            410 1# $a United States. $b Information Agency
                 (This reference is permitted because the delimiter is retained in the
                 normalized form and makes the heading unique.)

Apply these guidelines to references on new authority records and to existing authority records when making some other change to the record.

Should an SAR be made?

Series authority records should <u>not</u> be made for the following categories:

(1)   a republication that does not include the original series statement (see "Republications" section in 64X yellow pages);

(2)   *LC practice:* an unanalyzable numbered multipart item;

(3)   *LC practice:* generally, an unnumbered multipart set processed via "2A cataloging" unless some of the volumes have been analyzed (see DCM C12.7);

(4)   *LC practice:* a periodical (includes several separate articles by several contributors, frequency of publication more often than annual, and usually has both numeric and chronological designations) even if the issue in hand consists of a single contribution (e.g., a festschrift, proceedings of a conference) or may have a special title giving the overall theme of the issue;

Some issues of some periodicals were analyzed in error and are represented by SARs. 008/12 should be value "z" and the 644 field should be: 644 $a n $b except [vol. no. of the volume(s) already analyzed] $5 DLC. If the SAR does have this information, send the volume(s) in hand to Processing and Reference Section, Serial Record Division; if the SAR doesn't have that information, send the volume(s) in hand and SAR printout to CPSO.

If there is no SAR but there are analytic records, refer the volume(s) in hand to CPSO with a note "Periodical has been analyzed -- no SAR."

(5)   a hardcover (sometimes even softcover) edition of a selected issue of a periodical;

Several publishers (e.g., Haworth Press, Pergamon Press) publish separate editions, with special titles, of selected issues of their periodicals. These editions are published in addition to the unbound issues received by subscribers. The Library generally acquires the separate edition whether or not it subscribes to the periodical.

Do not consider such a separate edition to be an integral part of the periodical; do not prepare an SAR. Make a separate bibliographic record for it. Add a note explaining its relationship to the periodical, e.g., "Published also as v. 15, no. 2 of the Journal of children in contemporary society." Give a related work added entry for the periodical on the bibliographic record (cf. LCRI 21.30G).

It is not always clear, especially at CIP galley stage, whether the item in hand is an integral part of the periodical or a separate edition. Some publishers make clear statements, e.g., saying the title "has also been published as [title of journal], v. _____, no. ____." Others make ambig-uous or misleading statements, e.g., saying that the edition is "Published as a special issue of the journal _____, v. _____, no. _____ and supplied to subscribers as part of their normal subscription." The latter statement seems to indicate that the volume in hand is the only one issued and constitutes an integral part of the periodical. If the information given in the item is ambiguous, check the issue of the periodical or contact the publisher.

How many SARs should be made?

Since the entities represented by series authority records offer limitless possibilities for variation and change, it is sometimes difficult to determine how many authority records should exist.

(1)   The title/series-like phrase changes.

Is the change in title proper of the monographic series or other serial a major change or a minor change? (Consult 21.2A, LCRI 21.2A.) If it is a major change, make a new SAR. If it is a minor change, give a 670 citation and a 4XX reference for the different form.

Is a separate SAR made when the title of a multipart item changes? No; give the other title proper as a 4XX reference.

Any difference in a series-like phrase requires a new SAR.

(2)   How many authority records are made if the volumes of a monographic series are in different languages? Consult LCRI 1.6, 21.14, and 25.5C.

(3)   How many authority records are made if the same volumes in a series are published separately by publishers in the same language in the United States and in another country (e.g., England)? A separate SAR is made for the series from each publisher; if the titles of the series are the same, add a LCRI 25.5B qualifier to the SAR made later.

(4)   How many authority records are made if the volumes of a monographic series switch from having numbers to lacking numbers and vice versa? Consult LCRI 1.6.

(5)   How many authority records are made for main series and subseries? Consult LCRI 1.6H and LCRI 1.6.

(6)   Has there been a change in responsibility (i.e., different person/body,

body's name changes, uniform title changes)? Consult 21.3B. |

(7)   When reestablishing a series, is the apparent difference between the "earlier" form of title and the current title due to different transcription practices? If so, make only one SAR. *Optionally*, give the "earlier" form as a 4XX/667 old catalog heading (see 4XX yellow pages).

Possibilities include the following:

(a)   A change in the ALA/LC policy for romanization or word division results in a different title.

130 #0 $a Makedonikē vivliothēkē
430 #0 $w nna $a Makedonikē bibliothēkē

(b)   The title is in a language containing a symbol or numeral that under earlier rules was replaced by the corresponding word or words.

130 #0 $a Soldatenschicksale des 20.
            Jahrhunderts als Geschichtsquellen
430 #0 $w nna $a Soldatenschicksale des
            zwanzigsten Jahrhunderts als
            Geschichtsquellen

(c)   The title of the series was transcribed in truncated form under previous rules.

130 #0 $a Occasional papers of the California
            Academy of Sciences
410 2# $w nnaa $a California Academy of
            Sciences, San Francisco. $t Occasional
            papers

(d)   The series title consists solely of the name of a corporate body and the same form of the same series was under earlier rules considered to lack a title.

130 #0 $a Centre de recherches d'histoire
            ancienne (Series)
410 2# $w nnaa $a Centre de recherches
            d'histoire ancienne. $t Publication

(pre-AACR2 form of heading: Centre de recherches
d'histoire ancienne. [Publication])

(e)   Evidence indicates that a word such as Bibliotheca, Col-lection, Edice was always present as the first word of the title but was not considered to constitute a part of the title proper.

(8)   How many series-like phrase heading SARs are made for the same phrase used by different bodies?

There should be only one SAR. If an SAR already exists, use it as an undifferentiated phrase record; delete from the existing heading any qualifier other than "(Series)."

If the heading on an undifferentitated phrase record consists of a combination of letters that is the same as an acronym/initialism or name of a corporate body, use the qualifier "(Series)." If the heading on an undifferentiated phrase record conflicts with the title of a serial (monographic series or non-analyzable serial), add a qualifier to the heading for the serial on its bibliographic record.

Give the 643 field as "Various places : various publishers." Do not give a 667 for publisher variations.

Include two 667 fields. The first should be either "Give phrase as a quoted note" or "Do not give phrase as quoted note." The second 667 should be the following: "Undifferentiated phrase record: Covers all instances when this character string used by any publisher is considered to be a series-like phrase; if character string is considered to be a series, separate SAR has been made."

LC practice: Use the template "series-phrase-nonunique.tem" and cancel any existing phrase SAR in favor of the new record. Template has the 643 field and "Undifferentiated ..." 667 field notes above. The other 667 field in the template is given in the form "Give --- Do not give the phrase as a quoted note." Delete either "Give" or "Do not give" from the 667 field so appropriate instruction remains.

Series statement appears only on CIP data sheet at galley stage (LC practice)

(1) Series is new to the Library.

Either, (a) Clarify the data with the publisher via a phone call:

(i)   Request revised copy (e.g., revision of the mock-up title page, preliminaries) from the publisher.

(ii)   Add 955 to the CIP bibliographic record: "Holding CIP waiting for series information from publisher."

(iii) When revised copy is received, establish series according to regular procedures.

(iv) If revised copy is not received, establish the series provisionally using the form given by the publisher in the telephone call and transcribe the series statement without brackets in the bibliographic record.

(v)   If publisher could not be contacted, establish the series provisionally using the form on the data sheet and transcribe the series statement without brackets in the bibliographic record.

or   (b) return the CIP data sheet to CIP Division with request that CIP contact the publisher.

(i)   Add 955 to the CIP bibliographic record: "Returned to CIP to request series information."

(ii)   When revised copy is received, establish series according to regular procedures.

(iii) If revised copy is not received, establish the series provisionally using the form on the data sheet and transcribe the series statement without brackets in the bibliographic record.

(2) Series is already represented by an SAR.

(a) Series title on data sheet matches form of title in the SAR: Transcribe the series statement without brackets in the bibliographic record. Trace the series if appropriate according to regular procedures.

(b) Series title on data sheet is considered to be variant form of the title in the SAR:
(i)   Transcribe the series statement without brackets and trace the series if appropriate according to regular procedures.

(ii)   Add reference(s) to the SAR for the variant form.

(c) Series title on data sheet might represent a title change or situation might require a change in heading from that in the SAR:

(i)   Either clarify the data with publisher yourself or return the CIP data sheet to CIP Division with request that CIP contact the publisher (see (1)(a) or (1)(b) above for procedures to follow).

(ii)   When information from publisher is received, follow regular

procedures and either add information and reference(s) to the existing SAR or create a new SAR as appropriate.

(iii) If information is not received from publisher, create a new SAR and code it as a "provisional" record. Include explanation in 667 about lack of information from publisher. Transcribe the series statement without brackets in the bibliographic record.

(3) Series is represented by analytic bibliographic records but there is no SAR: Contact CPSO.

Priorities for series/multipart items (LC practice)

The first volume received of a numbered monographic series and the first/subsequent volumes of a multipart item are priority 2 materials. If the volume has a slip with a lower priority, change the priority slip.

Items in the categories listed below formerly were upgraded to priority 1. Do not upgrade the priority of these volumes. However, realize that efficient processing of these items will mean that later volumes can also be processed efficiently. If problems develop due to delays in cataloging, notify CPSO.

(a)   first volume in LC* of a series/subseries being classed as a collection or is in LC but lacks call number;
(b)   first volume in LC of a multipart item being classed as a collection;
(c)   series/subseries/multipart item being changed from classed separately to classed as a collection;
(d)   analyzed volume of a periodical, etc., not yet in LC* or in LC but lacks call number;
(e)   law series classed as a collection but "LAW" is only call number on analytic records.

*Serial catalogers: If no decision has been made regarding selection of the serial as a whole, forward the serial to the serial selection officer; if the serial as a whole is not to be added to LC's collections, forward the item(s) and the SAR printout to CPSO.

Searching series

LC catalogers working in the LC Database: Also see the searching strategy document.

Searching is the most important step in series processing. You must determine whether your series is already represented in the database; if not, you must know what other series are already in the database so your series will "fit" and not conflict with headings on authority and bibliographic records (also see LCRI 25.5B).

Remember that the bibliographic records in the database include series handled under

different cataloging codes. Some of the differences affecting series access are summarized below.

Choice of entry:
AACR 1 had a special rule for serials. Generic titles were entered under body. Titles containing name or initialism of body were entered under body.
AACR 2 has no special rule for serials. Most are entered under title per 21.1C1.

Title truncated:
For a time AACR 1 eliminated from the series title the name or part of the name of the body. "Bulletin of the Department of Education" became "Bulletin." "Research Department study" became "Study."

Space-hyphen-space:
Revised chapter 6 of AACR 1 specified that space-hyphen-space plus the body's name should be added to generic titles to create titles proper. The body's name was given in the form found on the item (which could change from one issue to the next). "Report - Department of Health" might be "Report - Virginia Department of Health" on the next issue and "Report - Commonwealth of Virginia Department of Health" on another issue. The form in the series added entry depended upon which issue was used when establishing the heading.

Subseries:
AACR 1: If subseries title was "weak," the subseries was entered subordinately to the main series; if subseries title was "strong," the subseries was entered independently.
AACR 2: If the main series and subseries are on the same source in the preliminaries, the subseries is entered subordinately to the main series; it the main series and subseries aren't on the same source in the preliminaries, the subseries is entered independently.

Also remember that series titles including initial articles appearing on pre-1979 records, in series statements for untraced series (490 0), and in some LC in-process records do not have the filing indicator set for the initial article. If the series title on item in hand includes an initial article, do a search including the initial article as well as a search without it.

LC catalogers: You may need to search in the manual Official Name Catalog for older publications not found in the LC Database or for more information than can be found in PREMARC records. Remember that there is no series usage in PREMARC records; only series added entries are included and they reflect a mixture of earlier cataloging rules (also see DCM S1). "Series-related" cards that are and are not in the manual catalog:

-- blue stock series treatment cards: traced series (see below)

[catalog entry form]

Classified as a collection
Classified as monographs
Analyzed in full
Analyzed in part
Not analyzed
Form of series note

-- white stock series treatment cards: untraced series (see below)

[name/title or title]

The volumes of this series which are in the library are
listed under their respective authors.

-- no series added entry cards
-- collected set records for both multipart items and monographic series
        (check verso of card: "Serials File Serial Record" stamp =
        monographic series)

LC Database Leader/Fixed Field Conversion Table

LC Database	MARC 21: Name and Tag	
Status	Record status	Leader/05
Type	Type of record	Leader/06
Enc/l	Encoding level	Leader/17
Subdivision	Direct or indirect geographical subdivision	008/06
Language of Catalog	Language of catalog	008/08
Cataloging Rules	Descriptive cataloging rules	008/10
Type of Series	Type of series	008/12
Heading Use:		
Main or Added Entry	Heading use - main or added entry	008/14
Subject Added Entry	Heading use - subject added entry	008/15
Series Added Entry	Heading use - series added entry	008/16
Personal Name	Undifferentiated personal name	008/32
Modified Record	Modified record	008/38
Romanization Scheme	Romanization scheme	008/07
Kind of Record	Kind of record	008/09
Subject Heading	Subject heading system/thesaurus	008/11
Numbered Series	Numbered/unnumbered series	008/13
Subject Subdivision	Type of subject subdivision	008/17
Govt. Agency	Type of government agency	008/28
Reference Evaluation	Reference evaluation	008/29
Record Update	Record update in process	008/31
Level of Establishment	Level of establishment	008/33
Cataloging Source	Cataloging source	008/39

OCLC Leader/Fixed Field Conversion Table

OCLC   MARC 21: Name and Tag

OCLC	MARC 21: Name	Tag
Rec stat	Record status	Leader/05
Type	Type of record	Leader/06
Roman	Romanization scheme	008/07
Govt agn	Type of government agency	008/28
Series	Type of series	008/12
Ser num	Numbered/unnumbered series	008/13
Entered	Date entered on file	008/00-008/05
Upd status	Record update in process	008/31
Ref status	Reference evaluation	008/29
Auth status	Level of establishment	008/33
Auth/Ref	Kind of record	008/09
Name	Undifferentiated personal name	008/32
Enc lvl	Encoding level	Leader/17
Mod rec	Modified record	008/38
Subj	Subject heading system/thesaurus	008/11
Geo subd	Direct or indirect geographical subdivision	008/06
Subdiv tp	Type of subject subdivision	008/17
Source	Cataloging source	008/39
Name use	Heading use - main or added entry	008/14
Subj use	Heading use - subject added entry	008/15
Ser use	Heading use - series added entry	008/16
Rules	Descriptive cataloging rules	008/10

RLIN Leader/Fixed Field Conversion Table

RLIN	MARC 21: Name and Tag	
ID	Record identifier/Control number	001
ST	Record status	N/A
EL	Encoding level	Leader/17
STH	Level of establishment	008/33
MS	Record status	Leader/05
UIP	Record update in process	008/31
TD	Date/time of latest transaction	005
KRC	Kind of record	008/09
NMU	Heading use - main or added entry	008/14
CRC	Descriptive cataloging rules	008/10
UPN	Undifferentiated personal name	008/32
SBU	Heading use - subject added entry	008/15
SBC	Subject heading system/thesaurus	008/11
DID	Direct or indirect geographical subdivision	008/06
DF	Date entered on file	008/00-008/05
RFE	Reference evaluation	008/29
CSC	Cataloging source	008/39
SRU	Heading use - series added entry	008/16
SRT	Type of series	008/12
SRN	Numbered or unnumbered series	008/13
TSS	Type of subject subdivision	008/17
TGA	Type of government agency	008/28
ROM	Romanization scheme	008/07
MOD	Modified record	008/38
LCT	Language of catalog	008/08
VST	Authority record version status	N/A

MARC 21 Fields Used in Serial Records

Collected set serial bibliographic records for monographic series classified as a collection by the Library of Congress are in the LC Database.

Collected set serial bibliographic records for monographic series held by the National Library of Canada (NLC) and other libraries in CONSER (CONversion of SERials Program) are not found in the LC Database; they are loaded in a separate SiteSearch database in Voyager. Catalogers have no responsibility to search that database to look for conflicts or to do maintenance. However, since those CONSER records may have useful information for resolving a series problem, they may be considered a reference source.

Below are explanations of some of the MARC 21 fields used primarily/only in serial bibliographic records. For an explanation of fields not covered here, see the *CONSER Editing Guide*.)

Fields which may affect series heading or treatment

010 field (LC control number)

This field may contain a regular LC control number (usually without prefix) or a pseudo LC control number (with "pseudo" prefix). If the record in the OCLC database used by an LC serials cataloger already has a pseudo LC control number, as of May 1, 1999 it is not being replaced by a regular LC control number lacking a prefix.

Listed below are the prefixes that now may be found in LC control numbers with an explanation of the use of these prefixes before May 1, 1999.

ce prefix =   Canadian bilingual publication, English language cataloging.

cn prefix =   Unilingual Canadian publication, English language cataloging (also used for unilingual French language cataloging, but records not in the LC Database).

sf prefix =   Records authenticated by LC for titles held by LC given less than full cataloging: form card cataloging, minimal level cataloging, and other forms of cataloging for which no serial printed card existed (e.g., monographic series classified separately).

sn prefix =   Records authenticated by CONSER participants, National Serials Data Program (NSDP), United States Newspaper Program (USNP), and the former New Serial Titles Section (NST). (Prior to 1984, "sn" control numbers were also assigned to LC minimal level cataloging records.)

042 field (Authentication agency code)

     Records may have more than one code. If the record is an AACR 2 record and has been authenticated by LC or NLC, the heading is usually accepted as the AACR 2 heading. (See also 1XX yellow pages.)

lc   descriptive and subject elements verified by LC; all name and series headings are represented by name/series authority records in the national authority file

lcd   descriptive elements verified by LC or a CONSER participant; all name and series headings are represented by name/series authority records in the national authority file or there are no headings appropriate to the record

nlc   descriptive elements and headings verified by National Library of Canada

nsdp   ISSN elements (e.g., ISSN, key title) verified by National Serials Data Program (NSDP)

isds/c ISSN elements verified by ISSN Canada

nst   code used 1981-1984 for records selected for publication in *New Serial Titles*; descriptive elements are only as accurate as reported by the NST reporting libraries; codes "lcd" and "msc" used 1985-1993 for such records (LC's New Serial Titles Section abolished in 1993)

msc   descriptive elements verified by NSDP, NST, the CONSER Minimal Level Cataloging Section, or a CONSER participant including U.S. Newspaper Program participants; all name and series headings are in AACR 2 form but may not be represented by name/series authority records in the national authority file. (Prior to fall 1989, this code was also used when there were no headings appropriate to the record.)

premarc code used for records converted to machine-readable form as part of an LC retrospective conversion project (source records used are printed catalog cards taken from the LC general shelflist and other manual LC files, or OCLC records that have been amalgamated with data from LC manual files); descriptive elements have not necessarily been verified or reverified by LC but the authoritativeness of the headings is indicated by the additional presence of code "lcd" or "msc"

xlc   not <u>currently</u> treated as a serial by LC; this code will appear only in combination with other codes (e.g., "nsdp," "nlc") that indicate serial treatment by another authenticating agency.

[N.B.: An "x" preceding any of the agency-specific codes above indicates that the agency does not currently treat the publication as a serial.]

050 field (Library of Congress Class/Call Number)

This field with second indicator of "0" may contain an LC call number, an LC shelf number, or other indication of LC practice.

IN PROCESS   Call number not yet assigned (prior to 1990, PAR or REV PAR used)

CLASSED SEPARATELY   Monographic series classified separately in LC. (Prior to 1990, UNC used.)

UNCLASSED   Titles in LC which do not receive a call number, i.e. already existing form card cataloging (e.g., for technical reports) or temporary cataloging. (Prior to 1990, UNC was used.)

UNCLASSIFIED   Same as "UNCLASSED"

NOT IN LC   Cooperatively cataloged records for serials known not to be in LC

WMLC [no.]   Shelf number for non-microform materials represented by minimal level cataloging records

MICROFILM [no.]   Microfilm shelf number

MICROFICHE [no.]   Microfiche shelf number

Newspaper   Considered a newspaper within LC; may be followed by a number

DISCARD   Retention decision

CURRENT ISSUES ONLY   Retention decision

Fields showing variant and changed titles

Information in the following fields is to be used only as an aid in interpreting data on records; it is not to be used to justify 4XX/5XX references or establishment of new series headings when the variant/changed titles are not found on analytic records or on the item in hand.

246 field (Varying form of title)

The indicators in this field are the same as in monograph records.

247 field (Former title or title variations)

Not used for AACR 2; used for title changes on AACR 1 records before June 14, 1971, and for earlier titles in latest entry (ALA) cataloging records.

580 field (Linking entry complexity note)

This field is used to describe the relationship between two entries when it cannot be stated simply with a note generated by the 780/785 field.

780 field (Preceding entry)

The second indicator in this field gives the exact relationship:

0 =	Continues
1 =	Continues in part
2 =	Supersedes (not used for AACR 2)
3 =	Supersedes in part (not used for AACR 2)
4 =	Formed by the union of _____ and _____
5 =	Absorbed
6 =	Absorbed in part
7 =	Separated from

785 field (Succeeding entry)

The second indicator in this field gives the exact relationship:

0 =	Continued by
1 =	Continued in part by
2 =	Superseded by (not used for AACR 2)
3 =	Superseded in part by (not used for AACR 2)
4 =	Absorbed by
5 =	Absorbed in part by
6 =	Split into _____ and _____
7 =	Merged with _____ to form _____
8 =	Changed back to

Other fields of interest

310 field (Current frequency)

If the frequency indicated is more often than annual, the series may actually be a periodical.

<u>321 field (Former frequency)</u>

This field gives information about earlier issues.

<u>362 field (Dates of publication and volume designation)</u>

This field gives information about first and/or last issues.

<u>515 field (Numbering peculiarities note)</u>

This field may show a variation in numbering system that would not require a separate entry under AACR 2 12.3G and its RI.

<u>550 field (Issuing body note)</u>

This field shows variations in the issuing body.

008/11   Subject Heading System/Thesaurus

Corporate headings for high government and religious officials

Assign value "n" (Not applicable) to name authority records for corporate headings representing the office held for Heads of state, etc., (AACR2 rule 24.20B1), Religious officials (AACR2 rule 24.27B1), and Popes (AACR2 rule 24.27B2) when the name of the incumbent is included as part of the heading. Also assign value "b" in 008/15 and make a 667 note indicating the form used in subject cataloging.

Examples of corporate headings not appropriate for use as subject headings:

United States. President (1953-1961 : Eisenhower)
Iran. Shah (1941-1979 : Mohammed Reza Pahlavi)
Illinois. Governor (1973-1977 : Walker)
Catholic Church. Pope (1958-1963) : John XXIII)
Church of England. Diocese of London. Bishop (1675-1713 : Compton)

See also DCM Z1 008/15 and DCM Z1 667 section #7 "Notes indicating subject cataloging usage when an authority record heading is not appropriate for use as a subject entry."

Follow these guidelines for newly-created authority records. Correct existing records when making any other change to the records.

008/15   Heading Use-Subject Added Entry

Corporate headings for high government and religious officials

Background: For Heads of state, etc., Religious officials, and Popes, descriptive catalogers may be required to establish a corporate heading for the office as well as a personal name heading for the office holder. It is subject cataloging policy to assign only the personal name heading, not the corporate heading, as a subject access point. This policy was established for collocation purposes (cf. SCM H 430). For example, the heading:

United States. President (1789-1797 : Washington)

may be used in descriptive cataloging as an access point, but in subject cataloging only the personal name heading:

Washington, George, 1732-1799

would be used as a subject access point.

Assign value "b" (Not appropriate) to name authority records for corporate headings representing the office held for Heads of state, etc., (AACR2 rule 24.20B1), Religious officials (AACR2 rule 24.27B1), and Popes (AACR2 rule 24.27B2) when the name of the incumbent is included as part of the heading. Also assign value "n" in 008/11 and make a 667 note indicating the form used in subject cataloging.

Example:

```
110 2# $a Catholic Church. $b Pope (1958-1963 : John XXIII)
008/11 = n
008/15 = b
667 ## $a SUBJECT USAGE:  This heading is not valid for use
           as a subject. Works about this person are entered
           under John XXIII, Pope, 1881-1963.
```

See also DCM Z1 008/11 and DCM Z1 667 section #7 "Notes indicating subject cataloging usage when an authority record heading is not appropriate for use as a subject entry."

Follow these guidelines for newly-created authority records. Correct existing records when making any other change to the records.

008/32   **Undifferentiated Personal Name**

General

      Assign value "b" if the heading is for a personal name and is to be used for more than one person according to AACR 2 22.20. (See LCRI 22.17-22.20.) Do <u>not</u> change the 1XX field on an undifferentiated name authority record.

      From April 1988-mid-June 1990 LC policy for undifferentiated personal name authority records (formerly called non-unique name authority records) was to list up to three persons. If the heading represented four or more persons, the name authority record covered three persons <u>and</u> contained a 667 note "Record covers additional persons." The current LC policy is to list each person the heading represents without regard to the number of people using that name. Although the note "Record covers additional persons" has been discontinued for new records, it should be retained when found on existing records.

      When information is found to distinguish a person included on an undifferentiated name record, always create a <u>new</u> name authority record for that person. Delete information pertaining to that person from the undifferentiated name record. Add a 667 note on the new record to identify the LCCN of the authority record on which information about that person had been recorded:

          667    $a Formerly on undifferentiated name record: [LCCN of
                  undifferentiated name record]

      When an undifferentiated personal name authority record is being revised to delete all but one name, change value "b" to "a." Delete all of the other data applying to the name(s) being deleted from the authority record. Also delete the bracketed caption for the one name remaining.

      When an authority record for a single person is being revised to include another person, change the value from "a" to "b."

SARs

      Prior to March 21, 1991, only value "n" was used in this field. Use value "a" or "b" if a new SAR is entered under a personal name heading. You may change this field if the value is incorrect when you are updating the SAR for another reason.

008/33 Level of Establishment

NARs

     NACO participants and **provisional** records: |

       In addition to the basic condition for coding an authority record provisional |
(value "c") i.e., that the heading cannot be formulated satisfactorily because of inadequate |
 information, NACO participants may create **provisional** records in the following exceptional situations:

       (1)   If the contributing library does not have the language expertise to
establish the heading as a fully established authority record; this would include situations where
the library lacked adequate reference sources for research or where the cataloger was not confident
 of his ability to determine the correct grammatical form of heading.

       (2)   If the contributing library is unable, due to limited resources or other
constraints, to complete related authority work or to determine the appropriate reference structure
that is required for fully established headings.

       In no case will NACO participants create provisional authority records for headings
that conflict (including normalization) with already established headings. The Cooperative Cataloging
Team is prepared to provide language expertise, etc., to NACO participants on request, so that
such headings and references can be fully established at the time they are contributed.

       Questions about provisional authority records contributed by NACO participants should
be referred to the Cooperative Cataloging Team, who may refer them to the appropriate subject team.

     BIBCO participants and **provisional** records: |
                                   |
     BIBCO participants may <u>not</u> create **provisional** records in the two exceptional |
situations noted above for NACO participants <u>if</u> the NARs being contributed by BIBCO libraries |
aare in support of their BIBCO bibliographic records, i.e., those records with "pcc" in 042. |

     Preliminary authority records (value "d") generally are the result of retrospective projects.
Upgrade a preliminary record as appropriate.

SARs

     Generally, do not use value "d" for series authority records; the series data elements should
be viewed on the publication when creating SARs. Upgrade a preliminary record to a full level record
when you have examined the publication.

008/39 Cataloging Source

Whatever value is originally input into this field remains; do not change this value when updating a record unless the original value was incorrect.

LC catalogers working in the LC Database: Note that an authority record created |
using the LC ILS authority generation feature will have 008/39 set to value "d." If the NAR or SAR macro is not used, this value must be changed manually to value "blank" (the
 appropriate value for new records created at LC).

010   Library of Congress Control Number

      When one authority record is being deleted in favor of another authority record, give the LCCN of the deleted record in subfield $z of the 010 field in the retained record. This action may result in a mixture of old and new-structure LCCNs. When inputting the LCCN, follow the conventions appropriate to the structure of that LCCN. Do not convert old-structure LCCNs to new-structure LCCNs, or vice versa. (See DCM C3 for additional information.)

    Examples:
        [blank space = system-supplied space for clarity in display; "#" = space input by cataloger]

        010     $a n##99001234# $z no#98222222# $z n##99500045#
                [all LCCNs are old-structure]

        010     $a nr2001040302 $z n#2001000888
                [all LCCNs are new-structure]

        010     $a n##99123456# $z n#2001123456
                [LCCN in subfield $a is old-structure; LCCN in subfield $z
                 is new-structure]

        010     $a no2001333333 $z nb#99000123#
                [LCCN in subfield $a is new-structure; LCCN in subfield $z
                is old-structure]

016   National Bibliographic Agency Control Number

This field may appear in authority records emanating from national bibliographic agencies. Do not modify or delete this field.

022   International Standard Serial Number

LC does not use the following subfields:

        $y - Incorrect ISSN
        $z - Cancelled ISSN

Do not do any special searching to determine the ISSN; give the ISSN if it is available |
from the item in hand, from analytic bibliographic records, or from the collected set
bibliographic record for| the series.

Do not give an ISSN if it has more or less than eight digits or if a letter other than "X" is
the eighth digit. Do not give an ISBN or ISSN listed by the publisher for a multipart item set.

When the title of a publication has changed, confirm that an ISSN appearing on the
publication belongs to the new title and not to the earlier title.

An incorrect ISSN can be given in a 667 field (e.g., "ISSN 1122-3344 is not a valid ISSN for
this publication").

Do not use this field in an SAR for a series-like phrase. If an ISSN is on an item containing
a phrase judged not to be a series, reconsider the decision that the phrase isn't a series.

Do not modify an existing SAR just to add the ISSN.

035   System Control Number

As part of the conversion from MUMS, an 035 field was added to every name/series authority record. An 035 is also added to all new and updated authority records coming into the LC database from the overseas offices or the NACO nodes as part of the load process.

The DLC 035 is deleted programmatically by CDS when the record is distributed.

Do not add, change, or delete 035 fields. Catalogers have no responsibility for the 035 field.

040   Cataloging Source

LC does not use: subfield $f - Subject heading/thesaurus conventions

When a record is updated, add "$d [MARC 21 code]" unless your institution is
already the last subfield $d in the 040 field.

042   Authentication Code

This field may appear in authority records emanating from national bibliographic agencies. Do not modify or delete this field.

050   Library of Congress Call Number

Order of multiple fields

An 050 field input by Library of Congress (050 0) should precede an 050 field input by
another library (050 4).

Subfield $u (LC practice only)

Do not input a subfield $u in an 050 field.

LC catalogers have no responsibility for deleting subfield $u in SARs unless the
information in that subfield is incorrect.

Although subfield $u in bibliographic 050 fields was not migrated from MUMS, subfield $u
in SAR 050 fields was migrated. Whenever a NACO participant or an LC cataloger working in
OCLC or RLIN updates an SAR with an 050 $u, the subfield $u will disappear since it is local
data that cannot be protected when the record is replaced in the LC Database.

Special LC call numbers (LC practice only)

Field 050 may contain call numbers that do not follow the Library of Congress classifica-
tion schedules.

```
050 #0 $a LAW
050 #0 $a Microfilm 85/20,233
050 #0 $a WMLC L 82/1234
```

Punctuation

Use periods after the terms listed below. Use periods for abbreviations in non-English
languages according to the usage in those languages.

> fol.
> no.
> pt.
> subser.
> Suppl.
> vol.

Use of "subser."

If a subseries (numbered or unnumbered, established subordinately or independently) is
classified with the main series, the call number of the main series plus "subser." is the call
number given in the 050 field on the subseries SAR; the abbreviation "subser." is part of subfield

$b.

```
main series SAR:      050  $a AS36.I92 $b A2
                      646  $a c $5 DLC

subseries SAR:        050  $a AS36.I92 $b A2 subser.
                      646  $a m $5 DLC
```

The abbreviation "subser." appears in the 050 field of the collected set bibliographic record for a numbered subseries. The call number of the main series appears in the 050 field of a monograph analytic bibliographic record for a volume of the subseries; the volume number of the main series given in the 4XX field of the bibliographic record replaces "subser." in the call number in the bibliographic record.

```
main series collected set record:       050  $a AS36.I92 $b A2
numbered subseries collected set record: 050  $a AS36.I92 $b A2 subser.

monograph analytic record:      050  $a AS36.I92 $b A2 no. 63
  (if subseries numbered) 490 1 $a [main series title] ; $v no. 63.
                                $a [subseries title] ; $v no. 5

monograph analytic record:      050  $a AS36.I92 $b A2 no. 63
  (if subseries unnumbered)     490 1 $a [main series title] ; $v no. 63.
                                $a [subseries title]
```

"Subser." is also used in 050 fields of nonanalyzable serials in monographic series.

```
periodical in a collected series:   050  $a P9 $b .A24 subser.
                                    245  $a Linguistica generalia.
                                    440  $a Acta Universitatis
                                         Carolinae. $p Philologica
```

Numbered multipart items classified with main or another series

When a numbered multipart item is in a monographic series or in a more comprehensive multipart item that is classified as a collection, a collected set bibliographic record is also prepared for the smaller multipart item as a whole. The call number in the 050 field of that bibliographic record consists of the call number of the main/another series plus the volume number of the main/another series (not the volume number of the smaller multipart item) that constitutes the first or earliest known volume of the smaller multipart item, followed by the abbreviation "etc." That call number is the one given in the 050 field of the SAR for the smaller multipart item.

For the volume number of the main/another series, use the numbering designation

already established as shown in the 642 of the SAR or in subfield $v of 4XX/8XX fields in analytic bibliographic records. If that information is not available (e.g., the only existing analytic record is a nonanalyzable series or the series was previously not analyzed), always use the English abbreviations "vol.," "no.," and "pt." for "volume," "number," and "part" or for any equivalents in the vernacular.

<u>item in hand</u>:	"vypusk 5" of the multipart item constitutes "tom 17" of the main series
<u>data base</u>:	pre-AACR 2 analytic record for "vypusk 1" of the multipart item shows that it constitutes "tom 6" of the main series and "t. 6" has been added as an integral part of the call number of the analytic record
<u>add in 050</u>:	t. 6, etc.

<u>item in hand</u>:	"1. Teil" of the multipart item constitutes "Band 9" of the main series
<u>data base</u>:	no analytic records
<u>add in 050</u>:	vol. 9, etc.

Following are records showing the interrelationship of the fields in an SAR for a series classified as a collection, an SAR for a multipart item in that series, the multipart item collected set bibliographic record, and a multipart item analytic bibliographic record.

<u>series SAR</u>:
```
050 $a QE75 $b .B9
130 $a U.S. Geological Survey bulletin
642 $a 1749 $5 DLC
646 $a c $5 DLC
```

<u>multipart SAR</u>:
```
050    $a QE75 $b .B9 no. 1749, etc.
130    $a Mineral resources of wilderness study
       areas--west-central Utah
430    $a U.S. Geological Survey bulletin. $p
       Mineral resources of wilderness study
       areas--west-central Utah
642    $a ch. A $5 DLC
646    $a m $5 DLC
```

{Note: if a volume number consists of only an arabic numeral (i.e., designation is lacking), "no." is given with the arabic numeral at the end of a call number so that volume number doesn't look like a date.}

<u>multipart collected set record</u>:

```
050    $a QE75 $b .B9 no. 1749, etc.
245    $a Mineral resources of wilderness study areas--west-
```

```
                     central Utah.
             440     $a U.S. Geological Survey bulletin ; $v 1749
             505     $a ch. A. Mineral resources of the Swasey Mountain and
                     Howell Peak Wilderness study areas, Millard County,
                     Utah / by David A. Lindsay ... [et al.]
```

analytic record: 050 $a QE75 $b .B9 no. 1749-A
                      245   $a Mineral resources of the Swasey
                            Mountain and Howell Peak wilderness study
                            areas, Millard County, Utah / $c by David
                            A. Lindsey ... [et al.]
                      440   $a Mineral resources of wilderness study
                            areas--west-central Utah ; $v ch. A

Unnumbered multipart item classified with main or another series

No collected set bibliographic record is prepared for an unnumbered multipart item in a monographic series or in a more comprehensive multipart item classified as a collection.

So, in the 050 field of the SAR give the call number of the main or another series <u>without</u> an addition of the volume designation of the main/other series. The 050 field in each biblio-graphic record has the specific volume number of the main/other series.

main/other series SAR: 050 $a Q11 $b .K84
                            646   $a c

unnumbered multipart item SAR: 050 $a Q11 $b .K84
                                 646   $a m

multipart analytic record: 050 $a Q11 $b .K84 no. 47
                             4XX $a [main/other series title] ; $v
                                   no. 47
                             4XX $a [multipart item title]

Exceptions to use of call number

If, by exception, a subseries has a classification decision different from that of the main series or a serial analytic has a classification decision different from that of the series, explain the exception in the 050 subfield $d.

main series SAR:
       050 $a __ $b __ $d all vols. except [title of subseries]
       646 $a c $d all vols. except [title of subseries] $5 DLC
       646 $a s $d [title of subseries] $5 DLC

subseries SAR:
```
646   $a s $5 DLC
```

series SAR:
```
050   $a ___ $b ___ $d [title of serial]
646   $a s $d all vols. except [title of serial] $5 DLC
646   $a c $d [title of serial] $5 DLC
```

053   LC Classification Number

NACO practice: NACO participants may use this field only in the following situation: to record LC classification numbers associated with personal name headings for authors who have written works of the imagination, other than works for children. They may input classification numbers found on bibliographic records created and input by LC; they may request verification of other classification numbers.

LC practice: LC catalogers are strongly encouraged to add 053 fields to NARs for authors who have written works of the imagination, other than works for children. Follow team practice for when the field is added and who adds the field. Add an LC authorized 053 field even if the number is identical to an unverified 053 field already in the NAR.

Verification of LC classification numbers for literary authors

LC's Cooperative Cataloging Team will supply verification of LC classification numbers for literary authors upon request of a NACO participant. A web form for 053 submissions is available at URL: http://www.loc.gov/catdir/pcc/naco/053/053prop.html. BIBCO participants are strongly encouraged to use this form to verify LC classification numbers for literary authors to allow for greater consistency and applicability of their PCC cataloging.

Use and order of 053 fields

Do not add an 053 field to an NAR for a non-unique heading (code "b" in 008/32).

Indicators:

If the classification number is from a bibliographic record created and input by LC (040 $a DLC $c DLC) or has been verified by LC, use a second indicator of "0." For any other 053 input by a NACO participant, use a second indicator of "4" and a subfield $5 with the participant's MARC 21 identification code. Multiple subfield $5 are not allowed.

Number and order of fields:

If a verified 053 (i.e., 053 with second indicator of "0") is already in the NAR, don't add an unverified 053 (i.e., 053 with second indicator of "4").

Generally, only one verified 053 and one unverified 053 are permitted in an NAR. Exception: If an author writes in several languages, multiple verified and multiple unverified fields may be given; arrange the fields in class letter/number order and add the name of the language in subfield $c in each 053 field.

A single or multiple verified 053 field(s) should precede a single or multiple unverified 053 field(s).

X00   Personal Names – Indicator Value for Surnames

In 1996, the first indicator value 2 (Multiple surname) in X00 fields in MARC 21 was made obsolete. Value 1 (Single surname) was redefined as "surname" to be used for headings with either single or multiple surnames. At the time value 2 was made obsolete, various factors contributed to a delay in implementation, including the installation of the LC ILS. (By exception, the change was implemented by the British Library and three NACO libraries (National Library of Scotland, Cambridge, and Oxford) linked with the BL in a UK cooperative called the Copyright Libraries Shared Cataloguing Programme (CLSC), and the UK's National Art Library. Authority records contributed by the Dance Heritage Coalition also contained the change.)

Now that the LC ILS has been installed, LC assessed the best way to implement this change within the context of available resources. After consulting various libraries and agencies about the proposed implementation plan, LC has decided to implement the change beginning January 1, 2000 according to the following guidelines for LC/NACO libraries.

The basis of the implementation of the indicator change is that authority and bibliographic records will be treated independently, i.e., there will be no attempt to keep authority and bibliographic records in synchronization. The goals of the implementation are to assure that:

1)   all newly created authority and bibliographic records reflect the change;
2)   all existing records that are changed will be consistent within themselves.

The following guidelines apply to fields 100, 400, and 500 in all authority records (name, series, subjects). They apply to the following fields in bibliographic records: 100; 400; 600; 700; 800.

1.   Newly created records. Discontinue using value 2 in newly created authority and bibliographic records.

2.   Existing records. Limit changes to those encountered in regular work. Do not look for changes in the indicator value *per se.*

2.1.   *Authority records.* If changing an authority record that contains one or more multiple surname fields with Indicator 1 = 2, change the value 2 to 1 in all such fields as needed.

2.1.1.   *Corresponding bibliographic records.* Do not change corresponding bibliographic records unless there is another reason for changing them, in which case change the value 2 to 1 in all candidate fields as needed.

2.1.2   *Related authority records.* Do not extend the changes stimulated by a particular authority record to related authority records unless there is another reason for changing them, in which case change the value 2 to 1 in all candidate fields as needed .

2.2   *Bibliographic records.* If changing a bibliographic record for some other reason and that record contains one or more multiple surname fields with Indicator 1 = 2, change the value 2 to 1 in all such fields as needed.

2.2.1   *Corresponding authority records.* Do not change corresponding authority records unless there is another reason for changing them, in which case change the value 2 to 1 in all candidate fields as needed.

2.2.2   *Related bibliographic records.* Do not extend the changes stimulated by a

particular bibliographic record to related bibliographic records unless there is another reason for changing |
them, in which case change the value 2 to 1 in all candidate fields as needed. |

1XX   Headings

General

When modifying an authority record for another reason, delete a final mark of punctuation in the 1XX field unless it is a part of the data (e.g., a period in an abbreviation) or is called for by the cataloging rules (e.g., a parenthetical qualifier).

NARs

For procedures involved with Canadian name headings, see DCM Z1 Appendix for Canadian headings.

British Library records. The British Library must be consulted prior to making any change to the 1XX field of a record it has contributed (i.e., any record with the code "Uk" in 040 subfield $a). Send an email message to nal-queries@bl.uk giving the Library of Congress Control Number (LCCN) of the record and a brief explanation for the proposed change. Fax supporting information for the proposed change if such information would be useful (International: +44 1937 546562).

English Short Title Catalogue (ESTC) project. These headings are submitted by the British Library in connection with the English Short Title Catalogue project. Do not change an ESTC heading without permission from CPSO. ESTC records can be recognized by the following elements:

(1)   subfield $a of the 040 field contains Uk-ES, Uk/ESTC-NA, or Uk/LU-ECT.

(2)   the first 670 citation might not represent the publication that caused the heading to be established. Thus, the parenthetical statement of the title page form may not include all elements in the heading or may reflect a v variant form.

(3)   references might not be justified by information cited in 670 fields.

(4)   there will be a note in a 667 field: Data provided by ESTC/BL.

NLM records. National Library of Medicine (NLM) catalogers take into account headings and usage in the NLM bibliographic and authority files when preparing new AACR2 headings. They also change AACR2 headings already formulated by LC when the NLM files support a different heading. For headings used by NLM, the NLM heading has precedence over the LC heading when:

(1)   the LC heading has not yet been coded for AACR2, and the NLM heading has already been established as AACR2;

(2)   the LC heading has been coded as AACR2-compatible (008/10 = d) and
        NLM has established the heading as "pure" AACR2 (008/10 = c);

(3)   both libraries have headings already coded as "pure" AACR2 and NLM
        has a greater number of bibliographic records in support of its heading
        than LC has in support of its heading. (If the number is equal, the better
        heading is chosen, basing the decision on judgment.)

SARs

        When creating an SAR for an entity already represented by an existing NAR, either
cancel the NAR or convert the NAR to an SAR.

        If facts are available later that indicate an incorrect decision was made in a "series vs.
series-like phrase" situation, contact CPSO about changing the SAR. Don't change the decision
due just to different cataloger's judgment.

        For the title proper of a multipart item, consult AACR2 1.0H2.

Choosing a monographic series title proper:

(1)   If the item in hand has more than one form of series title, consult AACR2
        1.6B2 and .0B2 in the AACR2 chapter for the material being cataloged.

(2)   If the item in hand has the series title in more than one language or script
        on the same source, consult AACR2 1.1D2 and its LCRI.

(3)   If the item in hand has series title pages in more than one language and
        or script and the series title appears on each of the sources in the
        appropriate language or script, consult AACR2 1.0H1.

(4)   Consider spacing and changes in typography when determining where
        the series title begins and ends. Also consult AACR2 12.1B3 and its
        LCRI.

Establishing an SAR heading:

(1)   Determine choice of entry based on chapter 21 of AACR2.

(2)   Exclude from the heading the following information included in the series
        statement in the analytic bibliographic record:

            (a)   initial article in subfields $a, $t, $n, and $p;

(b)   other title information;
(c)   statement of responsibility;
(d)   parallel title(s);
(e)   ISSN;
(f)   numeric/chronological designations.

(3)   Add a parenthetical qualifier(s) if appropriate according to the guidelines in LCRI 25.5B.

(4)   If there is an AACR2 bibliographic record for a serial or monographic series collected set in the LC Database, check the 042 field (authentication agency code).

      (a)   If the 042 shows **lc or lcd alone or in addition** to other codes, use the choice and form of entry of the serial record as the series heading unless there is a clear-cut error. An error in <u>form</u> of qualifier may be corrected; <u>choice</u> of qualifier is accepted as found. Notify the Cataloging Sections, Serial Record Division, if an error is discovered; use the correct heading on the SAR.

      (b)   If the 042 field shows **only msc, nsdp, isds/c, or nst**, determine the AACR2 choice and form of entry yourself. If there are discrepancies in the choice or form of heading, notify the Cataloging Sections, Serial Record Division.

(5)   If the bibliographic record for a serial or monographic series collected set is not an AACR2 record, determine the AACR2 choice and form of entry yourself. Notify the Cataloging Sections, Serial Record Division.

(6)   **If** you searched the non-LC CONSER records in OCLC or RLIN (remember: you are <u>not</u> required to search),

      (a)   do not use a heading from a record in the following categories:
   - 010 prefix is "cf"
   - 010 prefix is "cn" and 040 $b is "fre"

      (b)   use the choice and form of entry on records with 042 code of **lcd** as the heading unless there is a clear-cut error. An error in <u>form</u> of qualifier may be corrected; <u>choice</u> of qualifier is accepted as found. Notify the Cataloging Sections, Serial Record Division, if an error is discovered; use the correct heading on the SAR.

4XX   See From Tracings

General

NARs: Consult AACR2 Chapters 22-26 and its rule interpretations for guidelines on which 4XX references to make.

SARs: Consult LCRI 26.5A for guidelines on making 4XX references.

When modifying an authority record for another reason, delete any final mark of punctuation in a 4XX field unless it is a part of the data (e.g., a period in an abbreviation) or is called for by the cataloging rules (e.g., a parenthetical qualifier).

Not all 4XX references require justification; see the section "Justifying references" in the 670 yellow pages for those categories.

See the section "NACO normalization" in the yellow Introduction pages.

Subfield $w (control subfield)

Follow the conventions in the authority format for use of subfield $w. Do not supply subfield $w unless a value other than "n" would be appropriate in one of the positions. When supplying subfield $w, give it as the first subfield in the field. Supply character positions preceding, but not succeeding, the value, e.g.,

> $w nna = to indicate a pre-AACR2 form of heading
> $w nnaa = to indicate a pre-AACR2 form of heading that is not appropriate as a reference in an AACR2 catalog
> $w nne = to indicate a form previously used as an AACR2 heading
> $w nnea = to indicate a form previously used as an AACR2 heading that is not appropriate as a reference in an AACR2 catalog. Used only in records converted from Wade-Giles to pinyin romanization of Chinese.

Linking references for NARs and SARs

If the AACR2 choice or form of entry differs from the pre-AACR2 choice or form, *optionally*, make a linking reference from that form. Note: the addition of a qualifier is considered a change in form. For SARs, give the linking reference regardless of whether the series was previously traced or untraced, analyzed or not analyzed. However, do not give such a linking reference if:

> (1)   the reference would normalize to the same form as the heading or another reference on the same record or to the same form as a heading on another record. Instead, give the form in a 667 field: "Old catalog heading: _____;"

(2)   there is no one-to-one correspondence between the pre-AACR2 heading and the AACR 2 heading, i.e., two or more pre-AACR2 headings will be treated as one heading under AACR2, or one pre-AACR2 heading will be split under AACR2. Instead, in a 667 field give the appropriate information. For the former, use "Includes the old catalog headings: _____; and, _____." For the latter, use "Previous to AACR2 covered by the heading: _____;"

(3)   for SARs, the series was previously untraced and it is not clear what form should be considered the old catalog heading.

If the heading on an existing NAR or SAR is changed, give a reference from the replaced AACR2 heading only if that form of reference would otherwise be given.

<u>SARs</u>

Give references on all SARs (even those for series-like phrases). When the classification decision is "as a collection," some references may duplicate added entries on the bibliographic record for the collected set.

If the volumes of a multipart item have different forms of the common title, use a 4XX reference rather than a 5XX reference for the form of the title not chosen as the title proper of the multipart item.

5XX   See Also From Tracings

General

        When modifying an authority record for another reason, delete any final mark of punctuation in a 5XX field unless it is a part of the data (e.g., a period in an abbreviation) or is called for by the cataloging rules (e.g., a parenthetical qualifier).

Subfield $w (control subfield)

        Follow the conventions in the authority format for use of subfield $w. Do not supply subfield $w unless a value other than "n" would be appropriate in one of the positions. When supplying subfield $w, give it as the first subfield in the field. Supply character positions preceding, but not succeeding, the value, e.g.,

                $w a = to indicate a reference from an earlier heading
                $w b = to indicate a reference from a later heading
                $w nnnc = to indicate a complex see also reference (record also contains a
                        663 field)

NARs

        Consult AACR 2 Chapters 22-26 and rule interpretations for guidelines on which 5XX references to make.

        Routinely delete all subject-to-name references (5XX with subfield $w/1 = b) when changing a record for another reason. (These references are no longer made; since existing references have not been maintained, they may not be in accord with current subject cataloging policy.)

SARs

        Do not code the subfield $w for an earlier/later relationship when the SAR is for   (1) an unnumbered series, (2) an unnumbered multipart item, or (3) a series-like phrase.

        If the title in the earlier/later relationship is not represented by its own SAR, do not give a 5XX reference from that title. In a 667 field give a "Continues:" or "Continued by:" note, citing the other title; if the form of entry for that title is not known to be the AACR 2 form, add "[unevaluated catalog entry form]" at the end of that field. When an SAR is made for that title, delete the 667 field and add the appropriate 5XX reference. (See also 667 yellow pages.)

        If the volumes of a multipart item have different forms of the common title, use a 4XX reference rather than a 5XX reference for the form of the title not chosen as the title proper of the multipart item.

64X   Series Treatment - General Information

This 64X section covers the following topics:

- C National-level PCC default decisions for newly-established SARs for monographic series and multipart items
    - C General policy
    - C Recording LC local and PCC local treatment decisions in new SARs
    - C Recording LC local and PCC local treatment decisions in existing SARs
    - C Existing SARs and non-LC analytic records
    - C SARs for serials other than monographic series

- C LC local practice -- general policy

- C LC local practice -- specific situations
    - C Technical report series
    - C Series not needing analysis
    - C Multipart items not needing analysis
    - C Serial record for monographic series classified as a collection
    - C Serial analytic
    - C Agricultural experiment station publications
    - C Creating series authority records for other libraries
    - C Document series in general
    - C United Nations documents
    - C Numbered treaty series

- C "DLC" code plus letter or letters in subfield $5
- C Republications
- C Document series in general
- C U.S. federal document series
- C United Nations documents
- C Treaty series
- C BIBCO tracing practice

Also see specific 64X yellow pages.

National-level PCC default decisions for newly-established SARs for monographic series and multipart items

General policy

To encourage the contribution to shared databases of the greatest number of bibliographic records with the most specific classification, the LC/PCC

national-level default treatment decisions will be "analyzed in full, traced, classified separately."

LC or any other PCC library can vary from the default analysis or classification practice for reasons of local needs/preferences/resources. If LC or any other BIBCO library varies from the national default classification practice, any resulting analytic record may be a BIBCO record without a "class separately" number also being supplied. If an analytic record is created, the default tracing practice is mandatory.

(*Note*: BIBCO libraries may opt not to create an SAR for an unestablished series when cataloging a bibliographic record at the core level; see the separate topic "BIBCO tracing practice" at the end of this 64X section for the handling of established/non-established series in BIBCO full and core records).

The national level tracing decision information is given in two fields in the SAR: field 645 (tracing) and, when appropriate, field 642 (form of number in added entry) to ensure consistent access points. The use of the MARC 21 organization code "DPCC" (for the Program for Cooperative Cataloging) in subfield $5 of those two fields indicates that the information applies at the national level.   See the yellow pages for the 642 and 645 fields for specific information.

The "DPCC" code will not be given in subfield $5 in either field 644 (analysis) or field 646 (classification).

Recording LC local and PCC local treatment decisions in new SARs

Since LC does not have a local authority file, LC will also include its MARC 21 identification code "DLC" to indicate its local treatment decisions in all treatment fields in all SARs it creates.

A PCC participant has the option to include its own MARC 21 identification code in treatment fields in SARs it creates to show that it is following the national default decisions or, by exception, is varying from those default decisions in whole or in part.

Recording LC local and PCC local treatment decisions in existing SARs

LC will always add its local treatment decisions in all treatment fields in SARs created by PCC participants when processing items represented by those SARs.

LC treatment decisions as predicted/recorded in the SAR by PCC participants during an earlier period are not to be reconsidered at LC unless the publication fits the criteria noted in the sections "Series not needing analysis" and "Multipart items not needing analysis" found later in these 64X pages.

A PCC participant has the option to add its local treatment decisions to any SAR created by LC or by another PCC participant if another PCC participants' treatment decisions are not already in the SAR. LC treatment decisions are not predicted by PCC participants.

BIBCO participants who input records directly into LC's local system must always indicate LC treatment decisions in SARs (even if LC does not yet have an item) in addition to the national-level tracing decision. They may omit or include their own treatment decisions, using their own MARC 21 organization codes.

Existing SARs and non-LC analytic records

SARs with an LC decision not to analyze and, therefore, not to trace represent only LC's local decision. (LC will continue to apply this local decision to certain categories of publications.) Such an LC decision does not prohibit another library from analyzing and tracing. It is not necessary to modify such SARs to add PCC tracing policy if it is not present; LC will not add the $5 DPCC to these SARs. Analytic records (either full or core) may be coded as BIBCO records if the series are traced.

SARs created before Sept. 1, 1989, with an LC decision to analyze in full but not to trace should not be modified to add PCC tracing policy.   The LC decision not to trace will be followed by BIBCO participants so that analytic records in a shared database will be consistent in the lack of traced series. Analytic records (either full or core) may be coded as BIBCO records even though the series are not traced.

For SARs created between September 1989 and mid-November 1998 (when "DPCC" code began to be added to new SARs), it is not necessary to modify them to add PCC tracing policy; LC will not add the $5 DPCC to these SARs. Analytic records (either full or core) may be coded as BIBCO records if the series are traced.

SARs for serials other than monographic series

Note: The national-level default treatment decisions for analysis and classification do not apply to SARs for serials other than monographic series (008/12 = z). The decision to analyze an issue or issues of such a serial is a local decision. If LC makes/modifies an SAR, LC will include its local treatment decisions with "DLC" in subfield $5. The PCC participant can input its local decisions with its own MARC 21 code if it chooses. The presence of either LC's or a PCC participant's code in such an SAR does not mean that another library must follow the analysis or classification decision recorded. However, If an analytic record is created, the default tracing practice is mandatory.

History of LC/PCC treatment decisions recorded in SARs

Before August 1995, PCC participants could omit treatment fields, give

 treatment only for the PCC library or only for LC, or give treatment for both the PCC library
 and LC. At point of contribution, SARs created by PCC participants from August 1995-March
1998 lacked LC treatment decisions. From April to mid-November 1998, PCC participants
included an LC tracing practice to serve as the national-level tracing decision for the tracing
of series in BIBCO records. Beginning in mid-November 1998, both LC staff and PCC
participants indicate national-level tracing decisions, using the MARC 21 organization code
"DPCC" in subfield $5 of the 642 and 645 fields.

LC local practice -- general policy |

          The default treatment decision for <u>new monographic series</u> is to classify
each volume separately, analyze each volume, and trace the series on each analytic record
(i.e., 644 $a = f, 645 $a = t, 646 $a = s). Record in the 642 field the form of numbering to be
used in the tracing. For any specific series, a cataloger may decide to analyze each volume
and trace the series on each analytic record but classify all the volumes as a collection
(646 $a = c) if the scope of the series is very narrow. Also see section "Series not needing
analysis" below and "Appendix for LC staff" for the processing of technical report series for
exceptions to this default treatment decision.

          For <u>monographic series considered new because a successive entry is
appropriate</u>, generally carry forward the existing treatment decision from the earlier SAR.
 If the earlier series was classified as a collection, obtain a new LC retention decision for |
the series as a whole from the serial selection officer. |

          For <u>analyzable multipart items</u>, the default treatment decision applies to
analysis and tracing: analyze each volume and trace the multipart item on each analytic
record (i.e., 644 $a = f, 645 $a = t). The person doing the descriptive cataloging decides
if the multipart item is analyzable; the classification decision for analyzable multipart items
 is made within the team according to the guidelines in the 646 yellow page. Record in the
642 field the form of numbering to be used in the tracing. No SAR is made for non-analyzable
multipart items since only collected set records can be made.   Also see section "Multipart
items not needing analysis" below.

          When <u>reestablishing a monographic series or multipart item</u> for AACR2,
determine the pre-AACR 2 treatment. The AACR 2 treatment decisions would be the
default decisions; record in separate fields any pre-AACR 2 treatment that varies from
the current default decisions. However, carry over the previous classification practice
(646 field). For monographic series classified as a collection, generally do not attempt
to record here changes of analysis practice previous to AACR 2 as this information is
usually not available. However, if the information becomes available incidentally, e.g.,
when the manual catalog was consulted for some other reason, record here also the
pre-AACR 2 analysis practice. If more than one practice was used (e.g., for a period
the series was not analyzed and then analyzed in full or in part), indicate the previous
decision as "in part." For multipart items classified as a collection, record the pre-AACR2
analysis practice if this differs from the AACR 2 analysis practice and if this information is

easily deduced from the available data. (See also the 644 yellow page for information concerning analysis practice.)

The general policy for treating <u>serials other than monographic series</u> (008/12 = z) is to classify as a collection with no analytic records. Normally, do not make SARs for such serials. However, if there is confusion as to the status of the publication (whether it is a monographic series or another kind of serial), make an SAR and record the standard treatment of 644 $a = n, 645 $a = n, 646 $a = c. If, by exception, an issue of such a serial has been or is to be analyzed, the general decision of not analyzing the volumes is not changed; the exception is recorded in the 644 field (see 644 field). Then, give 645 $a = t and record in the 642 field the form of numbering used in the tracing.

If only one issue or a few issues of a <u>serial other than a monographic series</u> is/are to be acquired and analyzed, make an SAR and give the following treatment: 644 $a = f, 645 $a = t, and 646 $a =s; record in the 642 field the form of numbering used in the tracing. Include the note "Full serial not to be acquired in LC" in a 667 field. (Confirm the acquisition decision with the serial selection officer.)

<u>LC local practice -- specific situations</u> |

Technical report series

The "technical report" workflow at LC handles brief, unbound items in a numbered series published outside the United States in a roman alphabet language or in Japanese, which comprises an interim report of ongoing research in the general areas of science and technology. (Works in the "soft" sciences and social sciences are generally excluded.) The report is usually of immediate research value only and is often superseded by a journal article or other more formal publication. Items not treated as technical reports include periodicals, unnumbered series, monographs issued in parts, reprints on clinical medicine and agriculture. (Print copies of technical reports published in the U.S. are cataloged and housed in the general collection; the Science, Technology, and Business Division's collection of U.S. technical reports is on microfiche.) See Z1 "Appendix for LC staff" for the processing of technical report series.

Series not needing analysis

In response to the demands on resources of staff and time, catalogers should try to identify those series that don't need to be analyzed. Perhaps it is the fact of the existence of the publication (rather than the individual issues) or the recognition of the issuing body that is important. Perhaps the subject matter is <u>so</u> limited that the same classification number and subject headings would be assigned to analytics as to a collected set record. Perhaps the series is self-indexed or indexed by another publication. See DCM Z1 "Appendix for LC staff" for procedures appropriate to not analyzing some monographic series.

Multipart items not needing analysis

A cataloger may decide that <u>some analyzable multipart items</u> should not be analyzed because the distinctive titles are not important enough to be represented by separate analytic records. Create a collected set record and give title information for individual volumes in a contents note. Make an SAR for the multipart item: 644 $a = n, 645 $a = n, 646 $a = c. Apply this treatment decision to those multipart items that meet <u>all four</u> of the criteria below:

        (1) multipart item is new to the Library; <u>and</u>
        (2) cataloger has or knows about all/most of the volumes; <u>and</u>
        (3) separate records for all volumes would have had same main entry; <u>and</u>
        (4) scope of multipart item is not broad.

Serial record for monographic series classified as a collection

<u>Monograph catalogers</u>: whenever (1) a classified as a collection series is established or reestablished and there isn't a record for the series in the LC Database, or (2) a series formerly classified separately is changed to classified as a collection, send an SAR printout and the volume(s) with a referral slip (6-127 (3/92)) to Cataloging Sections, Serial Record.

<u>Serial catalogers</u>: amalgamate with an unauthenticated record on OCLC or input a new record if necessary.

Serial analytic

<u>Serial catalogers</u>: whenever a serial or subseries in a numbered series classified as a collection in LC is represented by an unauthenticated record on OCLC, also update/authenticate the OCLC record for the main series. Input a new record if necessary.

Agricultural experiment station publications

Usually, LC does not add publications from agricultural experiment stations to its collections. However, since some volumes of such publications address topics beyond the work of the experiment station itself (e.g., the economy of the area), some volumes may be selected for the collections. The series should be established using the default decision (644 $a = f, 645 $a = t, 646 $a = s). Send any volumes to CPSO if you think they shouldn't be cataloged.

Creating series authority records for other libraries

When inputting an SAR for another library (e.g., for a CONSER library, for a library on contract), include the "DPCC" code in the 642 and 645 fields. Do not give any LC treatment decisions.

Document series in general

See "LC practice" segment of separate section below on document series.

United Nations documents

See "LC practice" segment of separate section below on United Nations documents.

Treaty series

For numbered treaty series, see "LC practice" segment of separate section below on treaty series.

"DLC" code plus letter or letters in subfield $5

LC catalogers who work in OCLC and in RLIN (serial and JACKPHY catalogers in Washington, catalogers in some overseas offices) use macros for creating authority records. The macros generate the subfield $5 information in the 642, 644-646 fields in SARs based on the library symbol used in the 040 field. Consider that a subfield $5 code that consists of "DLC" plus a letter or letters (DLC-R, DLC-ON, DLC-S, etc.) has the same meaning as "DLC." Do not change the subfield $5 form to "DLC."

Republications

Do not consider a republication to be in the original series if the original series statement has been omitted. The information can be given in a note on the bibliographic record. (See also LCRI 2.7B7.)

Photoreproduction, microform, and other republications are represented on the SAR for the original. If the 642, 644-646 treatment decisions for the republication are the same as for the original, add a second subfield $5 to each of those fields. If the treatment decision for the republication is not the same as for the original, use separate treatment fields with each having its specific subfield $5. Use "DLC photo-offset reprint" in the subfield $5 for a photoreproduction. For other republications, use a term appropriate to the republication in hand, preceding the term with "DLC" in subfield $5: DLC microfiche, DLC large print edition, etc. If the treatment fields for the republication are not the same as for the original, give the treatment field for the original before the treatment field for the republication. Always use a separate field for the republication if the same field for the original shows a change of decision.

```
646     $a s $5 DLC $5 DLC photo-offset reprint

050     $a ____ $b ____
```

```
646     $a c $5 DLC
646     $a s $5 DLC microfiche

050     $a ___ $b ___
646     $a s $d no. 78- $5 DLC
646     $a c $d no. 1-77 $5 DLC
646     $a s $5 DLC large print edition
```

If only a republication is in hand and no SAR exists for the original even though the original is in the collection, either create a SAR for both the original and the republication or create an SAR only for the republication. If the original is not in the collection, create an SAR only for the republication.

The inclusion of 643 and 670 fields for the republication is dependent on whether the SAR is for one or more republications or is for the original and one or more republications. (Until April 1998, 643 and 670 fields were required for each type of republication and for each publisher/manufacturer of republications on all SARs; do not delete any 643 and 670 fields for republications on SARs for the original and republication(s) created before April 1998.)

(1) Creating a new SAR for only a republication:

(a) In the 643 field, indicate in subfield $d the type of republication of the item for which the SAR is being made.

(b) Begin the 670 field with the term for the type of republication and a slash.

```
642     $a no. 1 $5 DPCC photo-offset reprint $5 DLC photo-
        offset reprint
643     $a [Place of republication] $b [Publisher/Manufacturer
        of republication] $d photo-offset reprint
644     $a f $5 DLC photo-offset reprint
645     $a t $5 DPCC photo-offset reprint $5 DLC photo-offset
        reprint
646     $a s $5 DLC photo-offset reprint
670     $a Photo-offset reprint/[Title], [date]: $b [source]
        ([usage])
```

(2) Creating a new SAR for both the original and a republication:

(a) Do not include a 643 field for the publisher/manufacturer of the republication.

(b) Do not include a 670 field for the republished item.

```
050     $a _____ $b _____
642     $a no. 23 $5 DPCC $5 DLC $5 DPCC photo-offset reprint
        $5 DLC photo-offset reprint
643     $a [Place of original] $b [Publisher of original]
644     $a f $5 DLC $5 DLC photo-offset reprint
645     $a t $5 DPCC $5 DLC $5 DPCC photo-offset reprint $5
        DLC photo-offset reprint
646     $a c $5 DLC
646     $a s $5 DLC photo-offset reprint
670     $a [Title of original], [date]: $b [source] ([usage])
```

(3) Adding a republication to an existing SAR:

    (a) Add treatment decisions for the republication.

    (b) Do not add 643 and 670 fields for the republication.

    (c) Do not delete any existing 643 and 670 fields for any republication(s).

Example showing addition of photoreproduction to existing SAR for original:

```
642     $a no. 1 $5 DLC $5 DLC photo-offset reprint
643     $a [Place of original] $b [Publisher of original]
644     $a f $5 DLC $5 DLC photo-offset reprint
645     $a t $5 DLC $5 DLC photo-offset reprint
646     $a s $5 DLC $5 DLC photo-offset reprint
670     $a [Title of original], [date]: $b [source] ([usage])
```

Example showing addition of large print edition republication to existing SAR for photoreproduction:

```
642     $a no. 1 $5 DLC photo-offset reprint $5 DLC large
        print edition
643     $a [Place of reproduction] $b [Publisher of
        reproduction] $d photo-offset reprint
644     $a f $5 DLC photo-offset reprint $5 DLC large print
        edition
645     $a t $5 DLC photo-offset reprint $5 DLC large print
        edition
646     $a s $5 DLC photo-offset reprint $5 DLC large print
        edition
670     $a Photo-offset reprint/[Title], [date]: $b [source]
        ([usage])
```

Example showing addition of microfilm republication to existing SAR for original
and photoreproduction created before April 1998 (when 643 and 670 fields were still required for any

republication added to SAR for original):

```
642    $a no. 1 $5 DLC $5 DLC photo-offset reprint $5 DLC
       microfilm
643    $a [Place of original] $b [Publisher of original]
643    $a [Place of reproduction] $b [Publisher of
       reproduction] $d photo-offset reprint
644    $a f $5 DLC $5 DLC photo-offset reprint $5 DLC
       microfilm
645    $a t $5 DLC $5 DLC photo-offset reprint $5 DLC
       microfilm
646    $a s $5 DLC $5 DLC photo-offset reprint $5 DLC
       microfilm
670    $a [Title of original], [date]: $b [source] ([usage])
670    $a Photo-offset reprint/[Title], [date]: $b [source]
       ([usage])
```

Document series in general

Definition of "document" = "Any publication bearing a government imprint or a |
statement that it has been published at government expense." This definition is to be
interpreted to include international organizations consisting of national governments, e.g.,
 United Nations, World Health Organization, International Labour Office, etc.   Note that
publications of institutions created or controlled by a government (universities, colleges,
museums, observatories, hospitals, libraries, institutes, etc.) are not to be considered
documents. However, publications of agricultural experiment stations are to be considered
documents. When in doubt, consider an item to be a document.

The above criteria are applicable only when establishing or reestablishing series
headings; they are not to be used in any other context.

LC practice: |
The cataloger determines whether an item is to be treated as a document |
unless the item has already been slipped as a document. |
If the first item of a new document series received in LC is not to be analyzed,
it is sent to the Cataloging Sections, Serial Record Division. Create a collected set record;
create an SAR with 644 $a = p, 645 $a = t, 646 $a = c, 642 if series is numbered, and a 667
of "Document."
If the first item of a new document series received in LC is to be analyzed, it is
sent to a monograph cataloging team. Create an SAR using the default treatment decision;
include a 667 of "Document." If no analytics are found but a collected set record exists in
the LC Database, 644 $a = p. Follow the same guideline if a document series is being reestablished.

U.S. federal document series

As of May 2000, LC and PCC participants may create SARs for U.S. federal
document series without contacting the Government Printing Office (GPO) Library.
GPO will change any heading as needed and will add its symbol in an 040 $d when it
uses an SAR for the first time.

United Nations documents

Establish new UN document series according to normal procedures for document
series. Give the UN document number as a quoted note on the analytic record.

   LC practice:

Under pre-AACR 2 practice, the UN document number was used to create
a series heading for UN documents; this made-up series was classified as a collection with
call number JX1977.A2. Any series appearing on UN publications was treated as a subseries
of the made-up document series and classified with that main series.

When reestablishing a true series formerly classified as part of the made-up
main series, treat the true series as new with following additions and changes:

(1)   Normally give the current and previous classification practices and
      the call number for the previous practice:

```
050   $a JX1977 $b .A2 subser. $d items cataloged
      before Jan. 1, 1981
646   $a s $d items cataloged after Dec. 31, 1980 $5
      DLC
646   $a m $d items cataloged before Jan. 1, 1981 $5
      DLC
```

      Exception: if searching results show that the series was at one time
      classified as a collection with its own call number (e.g., the series is
      a serial and the serial collected set record shows that earlier issues
      had their own call number), give a single 646 with value **c** in subfield
      $a and give that call number in 050 field.

(2)   Give note in 667 field: "Previous to AACR 2 subsumed under made-up
      set for UN documents."

(3)   Do not change existing bibliographic records which show the item
      as part of the made-up document series classified in JX1977.A2.

When adding a part to a collected set record for a multipart item, update
the record. Delete the series statement and added entry for the made-up document set;
reclassify the item.

Treaty series

If the main entry is the jurisdiction promulgating the treaties, in subfield $t use "Treaties, etc." and the title proper of the series as a qualifier.

```
110    $a United States. $t Treaties, etc. (Treaties and
       other international acts series)
```

LC practice:
The policy for numbered treaty series is to classify them as collections with no analytic records produced (644 $a = n, 645 $a = n, 646 $a = c).

If some issues of such a series have been analyzed, record both the new analysis practice of 644 $a = n and the former analysis practice of 644 $a = f. Use processing dates as the cut-off for the change in analysis practice (see 644 field). Record in the 642 field the form of numbering used in the tracing.

BIBCO tracing practice

SAR already exists in the national authority file

• If SAR was established before September 1989 and LC's 644 has value "f" <u>and</u> LC's 645 has value "n," do <u>not</u> trace the series; code the bibliographic record (either full or core) as a BIBCO record. Do not add the "DPCC" 642/645 fields to an existing SAR.

• If SAR other than one described in previous category has 645 value "t" with any subfield $5, trace the series and code the bibliographic record (either full or core) as a BIBCO record. Do not add the "DPCC" 642/645 fields to an existing SAR.

• If SAR has only LC's 644 of "n" and LC's 645 of "n," trace the series and code the bibliographic record (either full or core) as a BIBCO record. Do not add the "DPCC" 642/645 fields to an existing SAR.

• If SAR lacks 645 field, trace the series and code the bibliographic record (either full or core) as a BIBCO record. Do not add the "DPCC" 642/645 fields to an existing SAR.

SAR doesn't exist in the national authority file

For a full-level bibliographic record:
• contribute an SAR* to the national authority file, <u>and</u>
• trace the series in the analytic record.

For a core-level bibliographic record,

either:
- contribute an SAR* to the national authority file, and
- trace the series in the analytic record;

or:
- don't contribute an SAR to the national authority file, and
- don't trace the series in the analytic record.

* New SAR would have "$5 DPCC" in 642 and 645 fields.

If a BIBCO participant chooses not to follow the guidelines stated above, the resulting analytic records should not be coded as BIBCO records.

640   Series Dates of Publication and/or Volume Designation

       Do not search just to provide information for this field; give the information if it is available from the item in hand or incidentally from the publisher. Do not give information about the first volume if LC has the first issue and it is the issue given in the 642 field. Search for information if needed to break a conflict.

642   Series Numbering Example

Consult AACR 2 1.6G and LCRI 1.6G concerning choice of numbering designation.

Determine the form of numbering from the item in hand (not necessarily the first item of the series) and then use that form in tracing all items in the series. When reestablishing a series, change any subfield $v forms in access points in existing analytic records that don't match the form in the 642 field.

If the only number found on the item is the number in the series statement within the CIP data, ignore that number and consider the series to be unnumbered. *LC practice:* However, if the series is already established and the classification decision (646) is value "c" (classified as a collection) or value "m" (classified with main or other series), use that number.

If at the time of reestablishing a series, analytic records in the database show that the series is both numbered and unnumbered but the item in hand is unnumbered, determine the form of number to be used in the tracing from the records in the database and record the earliest number in the 642 field. Also add in a 670 field the citation of the analytic bibliographic record on which the form of number is based; include the number in the parenthetical data in the subfield $b.

If the analytic being cataloged is a multipart item that represents more than one volume in the series (e.g., the two volumes of the multipart item are numbers 17 and 18 of the series), record only one number in the 642 field; do not use a sequence of numbers.

When an analyzable multipart item is classified with another series (646 $a = m), the number recorded at the end of the call number in the 050 field will not be the number found in the 642 field. The number found in the 050 field is the number of the "other series" found on the item in hand. (See 050 yellow page.)

When wording such as "new ser." has been supplied in brackets with the numbering in the bibliographic record 4XX subfield $v (cf. AACR2 1.6G1), include the brackets in the 642 field being added to the SAR:

e.g., 642 $a [new ser.], no. 1

Serial catalogers: include the 642 field even though subfield $v usually doesn't appear in 4XX/8XX of serial analytic records.

Recording national-level, Library of Congress, and PCC local decisions for form of numbering

The national-level decision for form of numbering is to be followed by LC and those libraries creating BIBCO records. The MARC 21 organization code used for this national-level decision in subfield $5 is "DPCC" (PCC = Program for Cooperative Cataloging). LC staff and PCC participants should include the national-level and local decisions in SARs according to the following guidelines.

LC staff: new SAR

(1) Always include the national-level decision for form of numbering for a numbered monographic series, multipart item, or other series (serial) regardless of LC's local tracing decision. Determine the form of number according to usual rules/policies. The field is in templates in the LC Database and will be supplied as part of the macro invoked when creating an SAR using the LC ILS authority generation feature.

```
642 $a [form of number] $5 DPCC
```

(2) If LC's local tracing decision is to trace, add "DLC" as the second subfield $5 in the one 642 field.

```
642 $a [form of number] $5 DPCC $5 DLC
```

LC staff: existing SAR

(1) If the national-level decision is not in the SAR, do <u>not</u> add it. |

(2) If LC's local tracing decision is to trace, add "$5 DLC" to an already-existing 642 field; if a 642 field isn't present, add the field with "$5 DLC."

```
642 $a [form of number] $5 DPCC $5 DLC
642 $a [form of number] $5 DPCC $5 DLC $5 WaU           |
642 $a [form of number] $5 DLC $5 IRA                   |
642 $a [form of number] $5 DLC                          |
```
(examples represent single fields in different SARs)

PCC participants: new SAR |

(1) Always include the national-level decision for form of numbering for a numbered monographic series, multipart item, or other series (serial) regardless of your local tracing decision. Determine the form of number according to usual rules/policies.

```
642 $a [form of number] $5 DPCC
```

(2) If your local tracing decision is to trace, optionally add your MARC 21 organization code as the last subfield $5 in the one 642 field.

```
642 $a [form of number] $5 DPCC $5 CoDU
```

PCC participants: existing SAR |

(1) If the national-level decision is not in the SAR, it is <u>not</u> necessary to add it. |

(2) If your local tracing decision is to trace, optionally add your MARC 21 organization code as the last subfield $5 in an already-existing 642 field. Note: only one PCC participant | may include a form of numbering decision in an SAR. If a 642 field isn't present, optionally add the | field with your MARC 21 organization code in subfield $5.

```
642 $a [form of number] $5 DPCC $5 CoDU
642 $a [form of number] $5 DPCC $5 DLC $5 IRA
642 $a [form of number] $5 DLC $5 IRA                    |
642 $a [form of number] $5 WaU                           |
```
(examples represent single fields in different SARs)

643   Series Place and Publisher/Issuing Body

Give the information in the 643 field as found in subfields $a and $b of the 260
field of the bibliographic record for the analytic (or, in situations when there will not be an
analytic, the way it would be found if an analytic existed). If you are using "cut and paste"
or an automated authority generation program, it isn't necessary in the 643 field to delete
an address or brackets included from the 260 field. However, do not use the form from
260 $b if AACR2 1.4D4 was applied to shorten the name given in 260 $b.

Generally, ignore changes of place if there is no change in publisher.

If the difference in publishers represents alternate rather than successive publishers,
give each publisher in its own 643, using "some issues" in subfield $d in each 643 field.

If there are more than three successive changes of publisher, revert to one 643
field belonging to the volume cited in the first 670 field and give a 667 note. (See 667 yellow
page.)

Generally, use "some issues" when a subfield $d is needed for unnumbered series
or multipart items unless a span of dates is readily available.

Give "643 $a Various places $b various publishers" as the 643 field for an un-
differentiated phrase record. (See Introduction yellow pages for more information about
these records.)

When reestablishing a series, generally ignore changes in place or publisher
occurring previous to AACR 2. If there is information (e.g., from analytic records or from
item in hand) that the place and/or publisher for some or all of the analytics is different
from that of item being cited in the 670 field, record in the 643 field only the place and
the publisher of that item. Record the designation of that item in the subfield $d of the 643.

When creating an SAR for a republication only, indicate the type of republication in
subfield $d. Use "photo-offset reprint" for a photoreproduction; for other republications use
an appropriate term, e.g., "microfilm," "large-print edition." Do not include a 643 field for the
producer of the republication if the SAR covers both the original and one or more republications.
Do not add additional 643 fields for other types of republications cataloged later. (See
64X yellow pages for more information about republications.)

644   Series Analysis Practice

National-level PCC default analysis practice = "analyzed in full."

LC or any other BIBCO library can vary from the default analysis practice for reasons of local needs, preferences, or resources.

Summary of LC analysis policy:

LC generally <u>analyzes all issues</u> of the following categories:

(1)   all monographic series except as noted below;
(2)   all analyzable issues of multipart items except as noted below.

If at the time of establishing or reestablishing the series authority for a multipart item (including documents) it is known that not all parts of the item are analyzable, indicate the analysis practice as "in full," and, in addition, give "analyzable parts" in subfield $d. Use this subfield $d only when appropriate; do not add it automatically. Add this information if the condition occurs later.

Previous to AACR 2 the phrase "parts that are analyzable" was added automatically for a period of time and it is present on most manual series authority cards created in the 1970's for multipart items classified as collections. When reestablishing a series authority for such a multipart item, attempt to evaluate the applicability of the phrase. If this is not feasible based on the evidence at hand, omit the statement in subfield $d; add the subfield when the situation next occurs.

The LC policy to <u>analyze in part</u> applies to the following categories:

(1)   some document series (see 64X yellow pages);
(2)   technical reports series (see 64X yellow pages);
(3)   as a technique to summarize pre-AACR 2 variations in analysis practice when reestablishing a series for AACR 2 (see 64X yellow pages).

The LC policy <u>not to analyze</u> applies to the following categories:

(1)   numbered treaty series (see 64X yellow pages);
(2)   generally, issues of a serial other than a monographic series (see 64X yellow pages);
(3)   some series not needing analysis (see 64X yellow pages);
(4)   some multipart items not needing analysis (see 64X yellow pages).

Recording both Library of Congress and PCC local analysis decisions |

A PCC participant has the option to include or omit its analysis practice when creating or | modifying an SAR. Only one PCC participant may include its analysis practice in an SAR. |

If the Library of Congress and a PCC participant have the same analysis practice, in the one 644 field the subfield $5 for the Library of Congress ($5 DLC) should precede the subfield $5 containing the MARC 21 organization code for the PCC participant. |

If the Library of Congress and a PCC participant have different analysis practices, the 644 | field for the Library of Congress should precede the 644 field for the PCC participant. |

Exception to analysis practice

Sometimes the exception to the analysis practice will apply to all the volumes of a serial analytic or to all the volumes of a subseries. In such cases, in subfield $b give the title of the serial analytic or of the subseries instead of the series numbers of those items.

```
644   $a n $b [Title of serial] $5 DLC
646   $a c $5 DLC
```

Change of decision

When there is a change in analysis practice **and** the classification practice already is classified as a **collection** (646 $a = c), use a processing date as the cut-off. For subfield $d in the two 644 fields use the phrases "items processed after [date]" and "items processed before [date one day later than date in the previous subfield $d]." For example, if the analysis decision change was made on Feb. 3, 1993, give these 644 fields:

```
644   $a n $d items processed after Feb. 2, 1993 $5 DLC
644   $a f $d items processed before Feb. 3, 1993 $5 DLC
646   $a c $5 DLC
```

When there is a change in analysis practice **and** the classification practice has been classified **separately** (646 $a = s), use a numbering/chronological designation as the cut-off; use the term(s) from the item itself. For subfield $d in the two 644 fields use the designation of the <u>latest</u> analyzed volume in the database as the ending volume in the <u>second</u> (earlier practice) 644 field and the next number as the beginning volume in the <u>first</u> (current practice) 644 field. Generally, the same cut-offs are used in the 646 fields. *LC practice:* Even if some volumes |
are not in LC, give the cut-off information using definite beginning and ending numbers. Do not show gaps in the subfield $d information; the person handling one of those "missing" volumes later needs to know what treatment to use. Contact CPSO if you have questions about what cut-off information to use.

```
items in hand:  no. 18-20
analyzed vols. in database:  no. 1-16

existing SAR:
        644  $a f $5 DLC
        646  $a s $5 DLC

revised SAR:
        644  $a n $d no. 17-    $5 DLC
        644  $a f $d no. 1-16 $5 DLC
        646  $a c $d no. 17-    $5 DLC
        646  $a s $d no. 1-16 $5 DLC
```

LC practice: If volumes were cataloged out of order and now the analysis practice is |
being changed to "not analyzed" with a change in classification practice to "classed as a collection," generally record the specific volumes for each analysis practice. Give the new analysis practice in the first 644 field; use a hyphen with the last number to indicate that all volumes after that number should have the same treatment. Contact CPSO if you have questions about recording this information.

```
already analyzed:  no. 1-4, 6-7
being processed now with "not analyzed" decision:  no. 5, 8-10

existing SAR:
        644  $a f $5 DLC
        646  $a s $5 DLC

revised SAR:
        644  $a n $d no. 5, 8-    $5 DLC
        644  $a f $d no. 1-4, 6-7 $5 DLC
        646  $a c $d no. 5, 8-    $5 DLC
        646  $a s $d no. 1-4, 6-7 $5 DLC
```

```
already analyzed:  v. 1-23, 25, 27-32
```

being processed now with "not analyzed" decision: v. 24, 26

existing SAR:
```
644  $a f $5 DLC
646  $a s $5 DLC
```

revised SAR:
```
644  $a n $d v. 24, 26, 33-    $5 DLC
644  $a f $d v. 1-23, 25, 27-32 $5 DLC
646  $a c $d v. 24, 26, 33-    $5 DLC
646  $a s $d v. 1-23, 25, 27-32 $5 DLC
```

Not-analyzable volumes

If the publication began as a not-analyzable serial and then became a monographic series without changing its title, create one SAR. Give two 644 fields and a 667 note that explains the change in the publication.

```
644   $a f $d v. 9-  $5 DLC
644   $a n $d v. 1-8 $5 DLC
645   $a t $5 DPCC $5 DLC
646   $a c $5 DLC
667   $a Lacked analyzable titles until v. 9.
```

LC practice: If a later volume of an existing analyzed-in-full series is not analyzable, do not modify the 644 field to indicate this fact. Instead, create an analytic record for the volume according to the guidelines in LCRI 13.3.

645   Series Tracing Practice

National-level PCC tracing decision for all newly-established SARs for series, multipart |
items, and other series (serial) = "trace." |
 |
     See the section "BIBCO tracing practice" in the 64X yellow pages for guidelines about |
tracing when the SAR is already in the national authority file. |

LC policy for tracing practice |

     All newly-established analyzed series and analyzed series being reestablished are traced
(LCRI 21.30L). All analyzed multipart items are traced. If the series was untraced prior to AACR |
2, do not revise pre-AACR 2 bibliographic records to trace the series. |

     Before September 1, 1989, some categories of series were untraced. Generally do not
reconsider the tracing practice for an established series. If the tracing practice for an established
series is changed from untraced to traced, revise AACR 2 analytic records to trace the series but
do not revise pre-AACR 2 analytic records.

     When reestablishing a series that was untraced prior to AACR 2, always give two 645
fields, using the AACR 2 implementation date (regardless of the date of creating the SAR):
```
645 $a t $d items cataloged after Dec. 31, 1980 $5 [code]
645 $a n $d items cataloged before Jan. 1, 1981 $5 [code]
```

     Do not add series tracings to pre-AACR 2 records when a new heading now considered
to be a series was previously considered to be a phrase; include in the SAR a 667 field:
"Considered a phrase previous to AACR 2." Do not add series tracings to existing pre-AACR 2
and AACR 2 records when new information causes a change in existing decision from phrase to
series; add a 667 field to the existing SAR: "Considered a phrase prior to [current date]."

     Even if only one/few volume(s) of a series or a serial other than a monographic series is
analyzed, the 645 $a = t.

Recording national-level, Library of Congress, and PCC local tracing |
decisions

     The national-level tracing practice, to be followed by those libraries creating BIBCO
records, is separate from the local tracing practice at the Library of Congress or at any PCC |
institution. The national-level tracing decision always will be to trace. The MARC 21
organization code used for this national-level decision in subfield $5 is "DPCC."   LC staff and

PCC participants should include the national-level and local decisions in SARs according to the |
following guidelines.

LC staff: new SAR

      (1) Always include the national-level decision to trace in any new SAR created for a monographic series, multipart item, or other series (serial) regardless of LC's local tracing decision. The field is in templates in the LC Database and will be supplied as part of the macro invoked when creating an SAR using the LC ILS authority generation feature.

```
645 $a t $5 DPCC
```

      (2) If LC's tracing decision is to trace, add "DLC" as the second subfield $5 in the one 645 field.

```
645 $a t $5 DPCC $5 DLC
```

      (3) If LC's tracing decision is not to trace because LC's analysis decision is "not analyzed," give two 645 fields with LC's decision in a <u>second</u> 645 field.

```
two fields in one SAR:
     645 $a t $5 DPCC
     645 $a n $5 DLC
```

LC staff: existing SAR

      Add LC's local tracing decision. A PCC participant's local tracing decision may already be |
in the SAR.

      (1) If the national-level decision is not in the SAR, do <u>not</u> add it. |

      (2) If LC's tracing decision is to trace, add "$5 DLC" to an already-existing 645 |
field; if a 645 field isn't present, add the field with "$5 DLC." |

```
645 $a t $5 DPCC $5 DLC
645 $a t $5 DPCC $5 DLC $5 IRA
645 $a t $5 DLC $5 WaU
645 $a t $5 DLC
     (examples represent single fields in different SARs)
```

      (3) If LC's tracing decision is not to trace because LC's analysis decision is "not |
analyzed," give LC's decision in a <u>second</u> 645 field if a 645 for a "traced" decision is present. If a |
645 field isn't present, add the field with "$5 DLC." |

two fields in one SAR:
```
645 $a t $5 DPCC $5 CoDU
645 $a n $5 DLC
```

single field in one SAR:
```
645 $a n $5 DLC
```

PCC participants: new SAR

(1) Always include the national-level decision to trace in any new SAR created for a monographic series, multipart item, or other series (serial) regardless of your local tracing decision.

```
645 $a t $5 DPCC
```

(2) Optionally, add your own local decision.

(a) If your decision is to trace, add your MARC 21 organization code as the last subfield $5 in the one 645 field.

```
645 $a t $5 DPCC $5 IRA
```

(b) If your decision is not to trace, give two 645 fields with your decision in a <u>second</u> 645 field.

two fields in one SAR:
```
645 $a t $5 DPCC
645 $a n $5 WaU
```

PCC participants: existing SAR

(1) If the national-level decision is not in the SAR, it is <u>not</u> necessary to add it.

(2) Optionally, add your local tracing decision. Note: only one PCC participant may include a local tracing practice in an SAR.

(a) If your decision is to trace, add your MARC 21 organization code to an already-existing 645 field with decision to trace; if a 645 field isn't present, add the field with your MARC 21 organization code in subfield $5.

```
645 $a t $5 DPCC $5 WaU
645 $a t $5 DPCC $5 DLC $5 CoDU
645 $a t $5 DLC $5 CoDU
645 $a t $5 IRA
```

(examples represent single fields in different SARs)

          (b) If your decision is not to trace, give your decision in a <u>second</u> 645 field |
if a 645 for a "traced" decision is present. If a 645 field isn't present, add the field with your |
MARC 21 identification code in subfield $5. |

> *two fields in one SAR*:
> ```
> 645 $a t $5 DPCC
> 645 $a n $5 IRA
> ```
>
> *single field in one SAR:* |
> ```
> 645 $a n $5 WaU
> ```

646   Series Classification Practice

National-level PCC default classification practice = classified separately.

 LC or any other BIBCO library can vary from the default classification practice for
 reasons of local needs, preferences, or resources. If LC's or any other BIBCO library's
practice varies from the national default classification practice, any resulting analytic record
may be a BIBCO record. without a "class separately" number also being supplied.

LC's general policy

 New monographic series generally are classified separately. However, if the subject
scope of an analyzed numbered monographic series is narrow, classify the series as a collection.
If a numbered monographic series isn't being analyzed, classify it as a collection.

 If an SAR for a monographic series is made as a successive entry (due to a title change,
 change in corporate body qualifier, etc.) to another series, generally continue the classification
decision of the other series.

 If a main series is classified separately, a numbered subseries is normally classified
separately (the default decision). If a main series is classified separately, an unnumbered subseries
 can only be classified separately. If a main series is classified as a collection, a subseries
(numbered or unnumbered) is normally classified with the main series.

 If, by exception, a subseries has a classification decision different from that of the
main series, give a second 646 field on the main series SAR identifying the subseries exception.
If, by exception, a serial analytic has a classification decision different from that of the series,
give a second 646 field on the series SAR identifying the serial analytic exception.

```
        main series SAR:
            050  $a __ $b __ $d all vols. except [title of subseries]
            646  $a c $d all vols. except [title of subseries] $5 DLC
            646  $a s $d [title of subseries] $5 DLC

        subseries SAR:
            646  $a s $5 DLC

        series SAR:
            050  $a ___ $b ___ $d [title of serial]
            646  $a s $d all vols. except [title of serial] $5 DLC
            646  $a c $d [title of serial] $5 DLC
```

 The classification practice for new analyzable multipart items is determined within the
team doing the cataloging. The classification decision must be the same for all volumes of a multipart item.

(1) Classify separately the volumes in unnumbered multipart items.

(2) If the numbered multipart item isn't being analyzed, classify it as a collection.

(3) If the numbered multipart item is being analyzed,

  (a) Classify the following as a collection:

    1. The collected works of a literary author or an author writing mainly in one discipline.
    2. A two-volume set.
    3. The proceedings of a conference.
    4. Multipart item meant to be treated as a set, indicated by the presence of introductory or summary volumes, a separate index volume, continuous paging, etc.
    5. When the topic of the set and its treatment in the LC classification schedules would result in the analytics classing in the same or close LC class numbers if they were classified separately.
    6. Multipart item covering a discrete topic chronologically or geographically in the analytics.

  (b) Classify everything else separately, including literary trilogies, etc. and multipart items of which it is expected LC will acquire only one part or a few parts.

"Classified with main or other series"

This classification decision (646 $a = m) applies to two situations:

  (1)   a subseries (numbered or unnumbered, entered subordinately or inde-pendently) whose main series is classified as a collection (i.e., the SAR for the main series has 646 $a = c);

         If the subseries is numbered, there will be serial collected set bibliographic records for both the main series and the subseries; if the subseries is unnumbered, there will be a serial collected set record for only the main series.

  (2)   a multipart item, numbered or unnumbered, in a series or other multipart item that is classified as a collection (i.e., the SAR for the series or multipart item has 646 $a = c).

         If the smaller multipart item is numbered, there will be collected set bibliographic records for both the series/larger multipart item and the smaller multipart item; if the smaller multipart item is un-numbered, there will be a collected set record only for the series/larger

multipart item. The collected set record for the series will be a serial record;
the collected set record(s) for the multipart item(s) will be monograph record(s).

Recording Library of Congress and PCC local classification decisions |

      A PCC participant has the option to include or omit its classification practice when |
creating or modifying an SAR. Only one PCC participant may include its classification |
practice in an SAR.

      If the Library of Congress and a PCC participant have the same classification practice, |
in the one 646 field the subfield $5 for the Library of Congress ($ 5DLC) should precede the
subfield $5 containing the MARC 21 organization code for the PCC participant. |

      If the Library of Congress and a PCC participant have different classification practices, |
the 646 field for the Library of Congress should precede the 646 field for the PCC participant. |

Determining classification practice when reestablishing a series or an analyzable multipart item
(LC practice)

Look at the records in the database.

    (1)   If the call numbers of the analytic bibliographic records are different,
the pre-AACR 2 practice was to classify separately; use that classification
decision also for AACR 2.

    (2)   If the call numbers of the analytic bibliographic records are the same
except for the indication of volume number or "subser." (for a serial
analytic) at the end of the call number, the pre-AACR 2 practice was
to classify as a collection. Use the same classification decision for
AACR 2; record the call number (minus the volume number/"subser.")
in the 050 field of the SAR.

    (3)   If both kinds of call numbers are found for a series, there was probably
a "split decision:" the assignment of different classification decisions to
different copies (sets) (not the same as a change in classification decision
of all copies). Refer the problem to CPSO.

    (4)   If the call numbers of the analytic bibliographic records are the word LAW
not followed by a Law Library shelflist number, refer the problem to CPSO.

    (5)   If the collected set serial record for the series has a 050 field containing
an LC call number, IN PROCESS, PAR, REV PAR, or LAW (followed in
angle brackets by a Law Library shelflist number), the classification practice
was to classify as a collection. If there are no analytic bibliographic records,
there are two possibilities:

        (a)   the previous analysis treatment was "not analyzed" or

        (b)   the publication is not a monographic series or at least wasn't a monographic series when it began -- refer the problem to CPSO.

    (6)   If the collected set serial record for the series has no 050 or has a 050 field of UNC or CLASSED SEPARATELY, the classification practice was to classify separately.

    (7)   If the collected set serial record for the series has a 050 field of DISCARD, CURRENT ISSUES ONLY, or the letters WMLC (i.e., serial minimal level cataloging), refer the problem to CPSO.

Unnumbered volumes in a collected set series

If a numbered series that is classified as a collection has some volumes that are unnumbered, use two 646 fields:

```
646   $a c $d numbered items $5 DLC
646   $a s $d unnumbered items $5 DLC
```

Change of decision -- numbered monographic series

When the classification decision for a numbered monographic series has changed, generally use numeric/chronological designations in subfield $d of both 646 fields. Use the term(s) from the item itself.

LC practice: Even if some volumes are not in LC, give the cut-off information for the earlier classification decision using definite beginning and ending numbers. For example, v. 1-35 are represented by classified separately analytic bibliographic records. The classification decision has changed with the processing of v. 38. Do not show gaps in the subfield $d; the person handling one of those "missing" volumes later needs to know what treatment to use. Contact CPSO if you have questions about determining the cut-off number.

```
646   $a c $d v. 36-    $5 DLC
646   $a s $d v. 1-35 $5 DLC
```
<u>not</u>:
```
646   $a c $d <v. 38   > $5 DLC
646   $a s $d v. 1-<35   > $5 DLC
```

At times, if volumes were cataloged out of order (any of the uncataloged issues is earlier than the latest analyzed volume in the database), some volumes would have to be reclassed into the collected set in order to give a "clean" cut-off as shown above. Instead, generally record the specific volumes for each classification practice. Give the new classification practice in the first 646 field; use a hyphen with the last number to indicate that all volumes after that number should have the same treatment. In the second 646 field, show only the specific volumes not having the new classification practice.

      volumes already classified separately: no. 1-13, 15-18

      being cataloged now with classification decision changed to classification

as a collection: no. 14, 19-20

>   existing SAR:
> ```
> 646  $a s $5 DLC
> ```
>
>   revised SAR:
> ```
> 646  $a c $d no. 14, 19-    $5 DLC
> 646  $a s $d no. 1-13, 15-18 $5 DLC
> ```

>   volumes already classified separately: t. 1-5, 7-11, 13
>   being cataloged now with classification decision changed to classification

as a collection: t. 6, 12

>   existing SAR:
> ```
> 646  $a s $5 DLC
> ```
>
>   revised SAR:
> ```
> 646  $a c $d t. 6, 12, 14-    $5 DLC
> 646  $a s $d t. 1-5, 7-11, 13 $5 DLC
> ```

   LC practice: If the new decision is to classify as a collection and only a few volumes |
would need to be reclassed into the collected set and they had been retrieved from the shelves
in order to get information about the series, etc., give only one 646 field with no subfield $d;
have the volumes reclassed into the collected set now being processed.

Change of decision -- numbered multipart item (LC practice)

   When there is a change in the classification decision for a numbered multipart item that
itself is <u>not</u> in a larger multipart item/monographic series classified as a collection, the new
classification decision applies to all volumes. Reclassify existing volumes.

663/664   Complex See Also and See References

General

At LC these fields are commonly known as *cataloger generated references*.

The **663 field** contains the *explanatory text* and the *headings referred to* that are required when relationships exist between an established name and other established names that cannot be adequately conveyed by one or more simple cross references generated from 5XX See Also From Tracing Fields. (See also LCRI 22.2B and LCRI 26.2D.)

The **664 field** contains the *explanatory text* and the *headings referred to* that are required when relationships exist between an unestablished name and one or more established names that cannot be adequately conveyed by simple cross references generated from 4XX See From Tracing fields in the established heading records.

Complex See Also References and Complex See References may refer to a single heading or to multiple headings.

Conversion from Complex Reference to Regular Reference. Change the record on which the complex reference is traced by changing the $w control subfield and correcting the tag, if necessary. During routine reference evaluation, correct the reference tracing only on the record in hand; it is not necessary to revise all the records on which the complex reference is traced.

For a see reference, delete the record with the 664 field; if the record is not in the authority file, assume that the complex reference has already been deleted. For see also references recorded in 663 fields, also delete the 663 field from the record for the heading referred from.

Conversion from Regular Reference to Complex See or See Also Reference. Change the $w control subfield for the reference by adding a value "b" or "c" in the fourth position. Correct the tag if necessary. For see also references, also change the record for the heading referred from, and add the 663 field to it.

Change to an Existing Complex Reference. If the reference is, and will remain, a **see** (664) reference, and if the change is to the refer-to or refer-from lines, change the name authority record(s) on which the complex reference is traced.

If the reference is, and will remain a **see also** (663) reference, adjust the text of the reference as necessary. If the change is to the refer-to or refer-from lines, also change the name authority records on which the reference is traced.

667   Nonpublic General Note

Give information of permanent value and general interest that would be useful also to institutions outside of LC and to LC staff not working in the LC Database. A listing (not exhaustive) of types of notes is given below; with the exception of notes about old catalog headings, series-like phrase core records, and technical reports as well as the first part of the MESSAGE notes, the wording is recommended but not prescriptive. The separate 667 fields may be given in any order.

```
667   $a Not same as:  [name or title, LCCN]
667   $a Cannot identify with:  [name or title, LCCN]
667   $a Reinvestigate before using again
667   $a Formerly on undifferentiated name record: [LCCN of
      undifferentiated name record]
667   $a Coded "provisional" because [reason for coding]
```

MESSAGE notes *(LC practice)*

Use notes in the 667 field to indicate that an authority record is not yet finished or that it needs further investigation. Use the notes only when the work cannot be completed promptly.

If a new authority record cannot be completed immediately, adjust the code in LDR/17 from "n" to "o" and add a 667 note: "MESSAGE: Early notice." When the record has been completed, change the code back to "n" and delete the 667 MESSAGE note.

If an existing authority record needs investigation that cannot be completed immediately, adjust the code in 008/31 from "a" to "b" and add a 667 note: "MESSAGE: Being updated. [code and date]" (Additional information explaining the problem may be added, if considered useful.) When the record has been revised as necessary, change the value back to "a" and delete the 667 MESSAGE note.

```
667   $a MESSAGE  Being updated. [code and date]
667   $a MESSAGE  Being updated; 050 to be added. [code and
      date]
667   $a MESSAGE  Being updated; treatment being changed to
      collected, not analyzed after Feb. 2, 1992. [code and
      date]
```

NARs
```
667  $a Change heading if name _____
     continues to be used
667  $a For works issued before/after [date]
           (to be used for official language changes)
```

SARs

(1) Notes re title proper:

There may be a clear pattern of fluctuation between two or more forms of title proper of a numbered series (based on information in the database or from items in

hand).   There may be a change in the form of the title proper that isn't considered a title change (AACR 2 21.2A/LCRI 21.2A). You can use a 667 field in lieu of a 670 field to indicate the different title proper that is not generating its own SAR. Give that form of the title proper in a 4XX field.

```
667   $a Some issues have title: [title proper]
667   $a Vol. 8 has title: [title proper]
           [for fluctuating titles]

667   $a Vols. 9-   have title: [title proper]
           [for change not generating separate record]
```

If the subtitle could be interpreted as the title proper of the series or as a subseries, note the subtitle in a 667 field and give it as a 4XX reference.

```
667   $a Subtitle: [title of subtitle]
```

Do not use the 667 field to indicate variant titles of the series title proper found on the same item (e.g., form of series title on cover is different from form of series on series title page); note the variant titles in 670 field(s) and give them as 4XX references.

(2) Notes re relationship to other series/records:

If a series authority record represents a publication that is a successive entry that has occurred after a series was last handled under pre-AACR 2 rules but for which no SAR yet exists, give the information only in a 667 field rather than in 675/5XX fields. Label it, in square brackets, as an unevaluated catalog entry form. When the pre-AACR 2 catalog entry form is being evaluated in terms of AACR 2 choice and form of entry, delete this 667 and replace it with appropriate 675/5XX fields on both SARs.

```
667   $a Continues: [pre-AACR 2 catalog entry form]
         [unevaluated catalog entry form]
667   $a Continued by: [pre-AACR 2 catalog entry form]
         [unevaluated catalog entry form]
```

If the earlier publication was not analyzable, give the information only in a 667 field rather than in 675/5XX fields.

```
667   $a Continues the not-analyzable serial:  Directory of
         computer assisted research in musicology.
```

When the optional linking reference cannot be given between the AACR 2 form and the pre-AACR 2 form due to NACO normalization, if desired give the pre-AACR 2 information in a 667 field. Use one of the notes given below. (See "NACO normalization" section in Introduction yellow pages.)

```
667   $a Old catalog heading: _____
```

> *[Use if the reference would normalize to the same form as the heading or another reference on the same record or to the same form as a heading on another record.]*

667   $a Includes old catalog headings: Great Britain. Foreign Office. Treaty series; and, Great Britain. Foreign and Commonwealth Office. Treaty series"
> *[Use if two or more pre-AACR 2 headings will be treated as one heading under AACR 2.]*

667   $a Previous to AACR 2 covered by the heading: _____
> *[Use if one pre-AACR 2 heading will be split under AACR 2.]*

(3) Notes re publisher/issuing body:

When there are more than two changes of publisher or when there have been more than two different consecutive bodies both issuing and publishing the publication, use only one 643 field and give an explanation in a 667 field. The explanation should be as specific as is appropriate for the situation.

667   $a Imprint varies
667   $a Publisher varies
667   $a Published by various offices of the Division of Education
667   $a Issued by various agencies of the West German government, e.g., Presse- und Informationsamt, Bundesministerium der Justiz, Bundesministerium für Forschung und Technologie

When converting a series-like phrase for a single phrase to an undifferentiated phrase record to cover the same phrase used by more than one publisher, give a 667 note using the wording given below. (See the Introduction yellow pages for more information about these records.)

667   $a Undifferentiated phrase record: Covers all instances when this character string used by any publisher is considered to be a series-like phrase; if character string is to be a series, separate SAR has been made.

(4) Notes re type of publication:

If the series is a document series, give a 667 note.

667   $a Document

LC practice: If the series is a technical report, give a 667 note and include the location of issues in LC.

```
667  $a Technical report.  Generally, issues of this series
         are uncataloged in LC; they are in the Science,
         Technology, and Business Division [or: in the Asian
         Division].  If volumes have been cataloged, the
         bibliographic records can be found by searching for
         the series heading above.
```

If the publication has changed its identity (e.g., from a monographic series to a periodical), give a 667 note that indicates what happened which will explain why a full set of analytic records is not available.

```
667  $a Telephone call to publisher, 11-2-88:  Change in
         pattern of publication; v. 1-17 monographic works,
         v. 18- collections of articles
667  $a Publication was periodical for v. 1-3; monographic
         series beginning with v. 4
```

LC practice: If LC has changed its decision about a title being a series, summarize the earlier treatment.

```
667  $a Vols. 1-25 considered a series (classified as a
         collection, not analyzed [call no.])
667  $a Considered a series (classified separately, traced)
         previous to AACR 2
             [on a series-like phrase SAR]
667  $a Considered a phrase previous to AACR 2
             [on a series SAR]
```

(5) Notes re handling of series-like phrase:

```
667  $a Do not give as a quoted note
667  $a Give as a quoted note
667  $a Give as a quoted note if [name of publisher] is not
         recorded in the publication, distribution, etc. area
         of the bibliographic record
             [for phrase that combines name of publisher and
             a generic term]
667  $a Is an imprint, not a series.  Record in publication,
         distribution, etc. area of the bibliographic
         record
             [for imprint that could be construed to be
             title, e.g., Metropolitan Books]
667  $a Give as a quoted note, including the number, e.g.,
         AAI no. 85-41
667  $a Give as other title information in the title and
         statement of responsibility area of the
         bibliographic record
```

(6) *LC practice:* Notes re change in selection decision (also see 64X yellow pages):

```
667  $a Not acquired in LC after 8-22-88. Volumes cataloged
```

```
                    before 8-23-88 were classified separately, analyzed
                    in full, traced
           667  $a Not cataloged in LC after 9-30-90; LC keeps current
                    issues only
           667  $a Not acquired in LC after 3-10-92. Volumes in the
                    collection have been discarded
           667  $a Not acquired in LC after 5-28-84. Volumes cataloged
                    before 5-29-84 were classified as a collection
                    ([call no.]), analyzed in part, traced
```

(7) Notes indicating subject cataloging usage when an authority record heading is not appropriate for use as a subject entry:

Add a 667 note to name authority records indicating subject cataloging usage for corporate headings representing the office held for Heads of state, etc., (AACR2 rule 24.20B1), Religious officials (AACR2 rule 24.27B1), and Popes (AACR2 rule 24.27B2) when the name of the incumbent is included as part of the heading. Also assign value "n" in 008/11 and value "b" in 008/15.

```
           667   $a SUBJECT USAGE:  This heading is not valid for use
                    as a subject.  Works about this person are entered
                    under [personal name heading].
```

Example:

```
           110 1# $a United States. $b President (1953-1961 :
                    Eisenhower)
           008/11 = n
           008/15 = b
           667   $a SUBJECT USAGE:  This heading is not valid for use
                    as a subject. Works about this person are entered
                    under Eisenhower, Dwight D. (Dwight David), 1890-
                    1969.
```

See also DCM Z1 008/11 and DCM Z1 008/15.

Follow these guidelines for newly-created authority records. Correct existing records when making any other change to the records.

(8) Miscellaneous notes for whatever information needs to be conveyed:

```
           667   $a Previous to AACR 2 subsumed under made-up set for UN
                    documents
                       [See 64X yellow pages for more information about
                       UN documents]

           667   $a First printing of vol. 8 of the Princeton
                    theological monograph series erroneously carried the
                    series statement:  Pittsburgh theological
                    monographs

           667   $a Phone call to Borgo Press 1-20-84:  Starmont Press
                    series; Borgo reprints all titles generally 6 months
                    to a year later in cloth
```

667    $a Lacked analyzable titles until v. 9 |

667    $a Indexed in: Social sciences index
              [for series not being analyzed]

667    $a Establish separate records for English and Spanish
           titles if Spanish edition of v. 3 is received

670   Source Data Found

This 670 section covers the following topics:
- General
- Transcription of names and titles
- Recording dates
- Justifying references
- Transcription of other data
- Special types of citations

General

    The purpose of this field is to record information about the name or title represented in the 1XX field. It includes facts that contribute to the identification of the heading, that justify the choice of the name used as the 1XX heading and references to it, and that clarify relationships between it and other headings in the file.

FUNCTIONS OF THE 670 FIELD

♦ To supply information, from bibliographic, and at times non-bibliographic sources (e.g., phone calls, letters), in support of the choice and form of the heading and references.

♦ To store information that may be used to break a conflict later.

♦ To identify a person with a particular work or as an author in a particular discipline or time period.

♦ To identify separate individuals whose access points must remain identical for now (i.e., undifferentiated personal name headings).

♦ To clarify whether different forms of a body's name or of a title are simply variations or reflect a change in the name or title and to identify relationships with other headings.

♦ To record research required by the current rules.

♦ To facilitate authority and bibliographic file maintenance, i.e., the information in 670 fields aids in making decisions about duplicate headings and misattributions.

♦ To support machine manipulation based on algorithms using information in the 670.

Note that the examples given throughout the following text have

different conventions in regard to punctuation and style; unless a specific direction is given in the text, these conventions are not prescriptive. Catalogers are expected to use judgment and common sense. Punctuation and style need not be consistent from record to record as long as the information is clear and accurate.

The first 670 field usually is the work for which the heading is being established, the "work cat;" if it doesn't contain the name being established, give "(name not given)" in subfield $b. Give subsequent 670 fields in any order, adding new fields after existing ones. Do not routinely delete or change existing 670 fields, input by LC or by a NACO participant, when adding new 670 fields.

Note that it is not always necessary to include a 670 field for every reference source consulted; use judgment in deciding what sources are important enough to retain in the permanent authority record. For example, an NAR does not serve as a biographical sketch of a person, nor as an account of the detailed history of a corporate body.

A 670 field should include the following:

(1)   The title of the work being cited, complete enough for later identification in an online catalog. Abbreviations and ellipses may be used. Precede a generic or indistinctive title with an indication of the main entry of the work, which may also be abbreviated or in a NAR be replaced by a pronoun; if the main entry is the same as the title proper plus a qualifier, give the uniform title main entry instead of the title proper.

In authority records created using an automated authority generation program, the 670 information may include the main entry name as it appears in the bibliographic record for which the authority record is being made. In order to maintain the cost effectiveness of this process, it is recommended that catalogers accept the additional information as generated.

(2)   The date of publication or the edition of the work. If the item is the first volume of a numbered multipart item, record the date of publication as an open date.

Generally, use a chronological designation instead of a publication date when giving a 670 for a serial other than a monographic series; if there is no designation date, use the numeric designation and the date of publication. Indicate, following the designation statement, if a "surrogate" was used.

```
              670 $a The Verdict, Feb. 1975: $b t.p. ([data])
       not    670 $a The Verdict, vol. 2, no. 1 (Feb. 1975): $b
                     t.p. ([data])

              670 $a Studies in Confederate history, No. 1 (1966),
                     surrogate $b cover ([data])

       not    670 $a Studies in Confederate history, 1966,
```

```
                         surrogate $b cover ([data])
```

(3)   The specific location(s) of the information found (e.g., t.p., jkt., label, map recto) when the work cited is other than a standard reference source, (e.g., an encyclopedia or a bibliographic file). For numbered multipart items, include the volume number of the item with the specific location. *LC practice*: If the heading is being established from a CIP at the galley stage, precede the first location with the word CIP, e.g., CIP t.p., CIP pref.

Specific location was not given on "n42-" (retrospective) SARs.

For NARs, generally, use "etc." to avoid giving more than two locations or a sequence of locations (e.g., p. 316, etc., for p. 316-325, 329-331, 342). For SARs, always give each location separately.

(4)   Information found. Following the location, cite the information found there, enclosed in parentheses. Automated authority record generation programs may supply additional information from the bibliographic record from which the authority record is being made, e.g., complete statements of responsibility. In order to maintain the cost effectiveness of these programs, use judgment in deciding what information can remain in the subfield $b and what is really extraneous to the record being created and should be deleted.

If the name being established is not in the first 670 for the "work cat.," give "(name not given)" in the subfield $b.

As appropriate, give multiple occurrences of information from the same source following the location of the information. (Note: In SARs the parenthetical statement of the form of title proper was omitted until June 1989.)

If an SAR is for a republication only, begin the 670 with the term for the type of republication and a slash. Do not include a 670 for a republication if the SAR covers both the original and one or more republications. Do not add additional 670 fields for other types of republications cataloged later. (See 64X yellow pages for more information about republications.)

```
              670 $a Large print edition/Fool's coach, c1989 $b CIP
                  t.p. (An Evans novel of the West)
```

In the citation for the electronic resource (either direct or remote access) being cataloged, give information in subfield $a in the context of the publication rather than how it was viewed; in subfield $b, give location and information. For Internet resources used as reference sources, see section "Internet resources" below.

```
        670 $a McMillan newsletter, Jan.-Feb. 1995: $b t.p.
```

```
                (McMillan Family Association)
        670 $a Reducing your cholesterol, 1996 $b readme
                (Improving your diet series)
```

Transcription of names and titles

Transcribe names or series titles used in the heading or references in full, as they appear in the source, without abbreviation by the cataloger.

For titles that are not series (cf. Introduction Page 2 on when an NAR for these titles is needed), generally transcribe only titles that are considered important to document.

When preparing an authority record for the text of a law (AACR2 rule 25.15A2) or a subject compilation of laws (AACR2 25.15A1), if a source being cited contains an official short title or citation title, cite that title, preceded by the term "citation title" and its exact location, e.g.

```
        670 $a Workers' compensation law of the state of North Carolina,
            c1980: $b t.p. (Workers' compensation law of the state of
            North Carolina) citation title, p. 49 (The North Carolina
            Workers' Compensation Act)
```

For corporate headings, include in the data cited all the hierarchy required to justify needed references, but do not include elements irrelevant to the particular heading being established, e.g., subordinate body's name. Automated authority generation programs may supply additional information beyond the specific corporate body's name; use judgment in deciding what information (e.g., subordinate body's name) is extraneous to the record being created and should be deleted.

For all of the above categories, if the only expression of the name or title on the chief source of information is in the bibliographic title given in subfield $a of the 670 citation, repetition of the name in subfield $b may be omitted, provided no important information is lost.

If information about an earlier/later name or title is found in the same source as the name or title in the heading, give all the information in the 670 field; do not separate the information about the earlier/later name or title and give it in a 675 field.

```
        670 $a Strafvollzug, 1985 $b t.p. (Rechtsgeschichte) p. 2
            (Continues: Veröffentlichungen / Justizministerium Nordrhein-
            Westfalen)
```

Data must be given in romanized form. Normally it is understood that the cataloger has provided the romanization; therefore, when transcribing romanization found in the source, add after it the bracketed phrase **[in rom.]**.

In such languages as Arabic and Hebrew, vowels are commonly omitted from the

orthography of texts, and the cataloger supplies the missing vowels in transcribing data. When transcribing text that does include the vowels, add after it in brackets **[voc.]** or **[part voc.]** as appropriate.

Recording dates

  To facilitate international contribution and use of authority records, when giving dates use the abbreviated forms for months given in AACR2 Appendix B.15. (The U.S. practice for recording dates using numerals differs from the practice in some other countries). Do not change the style of dates in existing records.

Justifying references

  Justify names or titles given as references by information cited from sources. However, justification is not required in the following cases:

   (1) References justified by rules or rule interpretations only, usually because the reference is derived from inverting, shortening, etc., the heading or giving a substitute form in the heading.

   (2) References made on the basis of the cataloger's awareness of different romanizations or orthographies.

   (3) Name/title cross references derived from the work being cataloged, from other works cataloged under the same heading, or from information in standard reference sources.

   (4) References made on the basis of information from the National Library of Canada (cf. DCM Z1 Appendix for Canadian headings).

   (5) References to earlier/later headings of corporate bodies reflecting changes due to national orthographic reform, changes in government headings due to an official language change, or changes involving only a parent body to which the body being established is subordinate.

   (6) References made on the basis of information from the British Library as part of the English Short Title Catalogue project.

   (7) Optional references from pre-AACR 2 forms on SARs and on retrospective NARs.

Transcription of other data

NARs. Use judgment to determine how much data to record in the permanent authority record. Do not abbreviate or translate distinguishing terms (e.g., titles of address or office) that appear in conjunction with personal names in statements of responsibility and that potentially could be used as part of the heading. Other data may be abbreviated or summarized. Generally informally translate other data from foreign languages into English, paraphrasing or summarizing as convenient.

SARs. Use judgment to determine how much data other than forms of the title/phrase to record in the permanent authority record. Numbering and names of issuing bodies are not required but may be given.

Special types of citations

The most commonly occurring citations are listed below. If these are not appropriate, devise others as needed.

LC database. For LC catalogers not working in OCLC and RLIN, "LC database" as used in a 670 subfield $a equals name/series authority records and bibliographic records with the following values in the 906 $b: cbc, cbu, rip, par, and vip. Note that PREMARC records are now included in those categories of bibliographic records. (LC catalogers: See the separate document about policy decisions related to local authority control and PREMARC records.)

For LC catalogers working in OCLC and RLIN and for NACO participants, there is no change in what is considered to be the "LC database" as used in 670 subfield $a.

NARs. Give the date of the search, using month abbreviations. In parentheses, prefaced by the label **hdg.:** (or **MLC hdg.:** if appropriate), give the heading (or headings) found, even if it is the same as the current heading.

If different forms of the name exist in the bibliographic records, record the heading and also any forms found, including usage identical to the heading. Separate the heading from the other forms, and preface the other forms with

an appropriate label, e.g., **usage:**[1] or **variant:.**[2] Do not normally cite specific bibliographic records or the exact location of the variations found.

```
670 $a LC database, Jan. 31, 1992 $b (hdg.: Rivière, Pierre, 1815-
        1840)

670 $a LC database, Aug. 24, 1982: $b (hdg.: Sociedade Brasileira
        pelo Progresso da Ciencia; usage: Sociedade Brasileira para
        o Progresso da Ciencia, SBPC)

670 $a LC database, Mar. 11, 1996 $b (hdg.:  Swedish American
        Corporation; variant: Swedish American Corp.)
```

SARs. Give the date of the search, using month abbreviations, followed by the citation of the bibliographic record. In parentheses give the series statement found in that record.

```
670 $a LC database, Nov. 28, 1983, Les Déchets ménagers, c1980
        $b (Les cahiers de l'AGHTM)
```

Minimal level cataloging records and less than fully authenticated serial records. Authority work normally has not been done for headings used in minimal level cataloging records and less than fully authenticated serial records (authentication field 042 does not contain any one of the codes lc, lcd, nlc, or gpo). It may be necessary to reconsider the formulation of the heading. If the established heading is different, do necessary bibliographic file maintenance. Also, an MLC or less than fully authenticated serial record might provide useful information, such as a birth date not given elsewhere or usage not otherwise available. Do not routinely cite MLC headings. However, when the information is useful, document its source in the 670 field, e.g., **MLC hdg.:** or **Less than fully authenticated serial usage:**

LC manual authority card. *LC practice*: When formulating the 670 citation for a manual authority card citation, use either **LC manual auth. cd.** or

---

[1] "Usage" on bibliographic records refers to literal transcriptions of the forms of name usually found in records' statement of responsibility. Literal transcriptions may also appear in other parts of the bibliographic record, such as in the title proper or in a quoted note. Be sure that you are recording the transcription of the name as it appeared on the publication and not as it was formulated because of cataloging rules. Be especially careful when taking information from the publication, distribution, etc., area and from series statements. Headings may never be provided as usage.

[2] "Variant" on bibliographic records refers to a form of the name other than a literal transcription, e.g., a form found in the publication, distribution, etc. area or in an unquoted note; normally, there is not a need to cite such a variant in a 670 field. This understanding of "variant" within the context of a database does not refer to the varying forms of name found on an item not selected as the form used for the heading.

LC manual cat. (i.e., authority and bibliographic records) as appropriate. Summarize and record data found, without specifying individual works cited on the manual authority card or other sources of information which may have been mentioned there.

Citing other files or catalogs. If a heading is found in other manual catalogs or online databases, use judgment in creating a 670 citation. Begin the 670 field with a designation of the catalog/database in which these other bibliographic records were found. There is no prescribed formulation of such citations; examples are listed below:

```
670 $a LC in OCLC, date:  $b ([data])
670 $a RLIN, date $b ([data])
670 $a M/B/RS Collections Authority file $b ([data])
670 $a New Delhi MARC file $b ([data])
670 $a MWA/NAIP files $b (hdg.: ____; usage: ___; variants:
        _____)
670 $a NUC pre-56: $b ([data])
670 $a NRMM $b ([data])
```

Library of Congress staff working with the National Union Catalog (NUC) reports used specific library reports in the 670 citations when creating name authority records.

```
670 $a nuc85-70017: Lower and middle Pennsylvania
        stratigraphy ... 1982 $b (hdg. on AAP rept.:
        Sutherland, Patrick Kennedy, 1925- ; usage: Patrick
        K. Sutherland)
```

Reference works. Cite reference sources and the information found in them as briefly as possible within the requirements of intelligibility already stated, e.g.:

```
670 $a DNB $b ([data])
670 $a Harvard dict. of music $b ([data])
670 $a Comp. diss. index: $b ([data])
670 $a WW sci. Europe, 1991 $b ([data])
670 $a Banker's alm./yrbk., 1991: $b ([data])
```

A list of previously used abbreviations for some national bibliographies is in *Cataloging Service Bulletin*, no. 22 (fall 1983).

BGN. For geographic names established on the basis of information from the United States Board on Geographic Names,[3] convey a designated short form of name by adding within brackets immediately after the appropriate element the

---

[3] Published gazetteers or World Wide Web sites (GNIS (domestic information: URL: http://geonames.usgs.gov; GEOnet (foreign information: URL: http://164.214.2.59/gns/html/)

statement [short form]. Repeat the short form if needed for clarity. Do this even if the long form is chosen for the heading. Retain the phrases "[conventional]," "[(language)]," etc., when used by BGN. Give the date of the search in the online file and include the feature designation (e.g., ADM1, PPL), coordinates, and variants. If searching the latest available published gazeteer because online access is not available, do not include the date but do include the feature designation and coordinates. Note: In the published gazetteers the short form is shown with the use of boldface type.

```
        670 $a GEOnet, June 13, 1989 $b (Coast [short form]
               Province; ADM1, 3˚00'S 39˚30'E)
or      670 $a BGN $b (Coast [short form] Province; ADMD, 3˚00'S
               39˚30'E)

        670 $a GEOnet, July 7, 1992 $b (Varese [short form]
               Provincia di; ADM2, 45˚48'N 8˚48'E)
or      670 $a BGN $b (Varese [short form], Provincia di; PROV,
               45˚48'N 8˚48'E)

        670 $a GEOnet, Apr. 31, 1996 $b (Geneva [conventional];
               Genève [native], PPL, 46˚12'N 6˚10'E; variants:
               Ginevra, Genf)
or      670 $a BGN $b (Genève [French], Geneva [conventional];
               POPL, 46˚12'N 6˚10'E)

        670 $a GEOnet, Sept. 28, 2001 $b (Cambridgeshire [short form
               = Cambridge]; ADM1, 52˚12'N 0˚07'E)
```

Internet resources. Give the title of the Internet resource and the date it was consulted in subfield $a. In subfield $b, give a location within the resource, if appropriate, and the information found. Generally, don't include the URL (Uniform Resource Locator) since the address often changes. If a URL is given that contains a spacing tilde or a spacing underscore, replace the character with its corresponding hex code, preceded by the percent sign:

> %7E for spacing tilde
> %5F for spacing underscore

```
        670 $a British Oceanographic Data Centre WWW Home page,
               Sept. 6, 1995 $b (BODC, est. Apr. 1989, developed
               British Oceanographic Data Service (BODS))

        670 $a AltaVista, viewed Dec. 4, 1997: $b WWW page title
               screen (AltaVista, search network) HTML title (Alta
               Vista) additional screens (World Wide Web search
               engine developed by Digital Equipment Corp.)

        670 $a Harvard Business School Publishing Corporation
               gopher, Nov. 23, 1994 $b main menu (Harvard Business
               School Publishing Corporation) readme (Harvard
```

```
                    Business School Publishing)

  or      670 $a Internet, URL: gopher://johnnymac.harvard.
                 edu:70/11/hbspc, Nov. 23, 1994 $b main menu (Harvard
                 Business School Publishing Corporation) readme
                 (Harvard Business School Publishing)
```

For publications viewed electronically, see general 670 information.

Non-bibliographic sources. Give the non-bibliographic source, the date, and the information. The source can be given specifically ("Letter from author," "Phone call to publisher," etc.) or in general terms ("Information from author," "Information from publisher," etc.). When noting a specific source, it isn't necessary to show how information was received, e.g, that letter was received via FAX rather than via mail. When a telephone call to a publisher/agency/organization is cited, usually give the name of the group called, rather than the title or name of the person contacted.

```
        670 $a Phone call to H. Jones, Jan. 31, 1992 $b (Harry Jones
               is real name of Lionel Jones)
        670 $a Letter from author, May 29, 1994 $b (correct
               birthdate for _____ is Oct. 14, 1950)
        670 $a Information from publisher, Feb. 6, 1991 $b (James
               Allan's middle name is Stephen, not Steven)
        670 $a Information from OCLC, Mar. 8, 1996 $b (_____)
```

675   Source Data Not Found

It is not always necessary to include in the 675 field every reference source consulted; use judgment in deciding what sources are important enough to retain in the permanent record.

Include in the 675 field a source(s) giving information about the earlier and/or later name(s) or title(s) recorded in the 5XX field(s).

7XX   Heading Linking Entries

General

The use of this field in NARs or SARs is limited to recording the authorized form of name from a national bibliography. The purpose of including a 7XX in an NAR or SAR is usually to allow a National Bibliographic Agency (NBA) to retain its preferred form of name in its own bibliographic database, while still contributing name authority records to the national authority file (NAF) under NACO standards.

Indicators

Use the appropriate first indicator. Use second indicator value 7 (the value most appropriate for this application of the 7XX field).

Subfield $2

A 7XX field with second indicator value 7 must contain a subfield $2 and a code to identify the source of the heading.

A NBA, such as a national library or other agency responsible for maintaining a national bibliography, must apply to the LC Network Development and MARC Standards Office (NDMSO) to obtain a code which will become part of the *MARC Code List for Relators, Sources, Description Conventions.* Information on the process of applying for codes is available from NDMSO at ndmso@loc.gov or at: http://lcweb.loc.gov/marc/relators/

MARC 21 model: 7XX for alternate authorized form of name

Consult the LC Cooperative Cataloging Team before including 7XX fields in NARs or SARs.

Initially, the 7XX model will be limited to records created by NBAs and under certain conditions by designated NACO contributors by the NBA from within the same geographic jurisdiction, for the sole purpose of recording the form of heading used in its national bibliography.

NACO contributors from within the same geographic jurisdiction as the NBA that wish to create or modify 7XX headings should request permission directly from the NBA that controls the national bibliography. These arrangements are to be made between the NBA and the individual institutions and will not be administered by the PCC or the Library of Congress; nonetheless, the NBA is expected to notify the Cooperative Cataloging Team

when making these agreements and provide a list of libraries authorized to create or modify 7XX fields. The responsibility for applying for a subfield $2 code reside with the NBA; once the proper code is identified, it should be used as needed in 7XX fields input by any library.

This policy will be evaluated after a sufficient period of using the 7XX approach, but not sooner than a year.

Guidelines for including 7XX and subfield $2 in an authority record

A NBA or a NBA-designated NACO library may include an alternate authorized form of name in a new or extant NACO record in the 7XX field as defined by the *MARC 21 Authority Format* and NACO guidelines:

• The NBA should consult with the Cooperative Cataloging Team before using 7XX fields in name or series authority records.
• The 7XX must include a subfield $2 code to identify the NBA's authority file as the source of the name in the 7XX. The source code should be requested from the LC NDMSO by the appropriate national library or NBA.
• A 7XX heading in a NACO record may be modified only by the NBA and/or a NBA-designated NACO library.
• The NBA and/or NBA-designated NACO library contributing the 7XX form is responsible for any maintenance to the NAR if the form of name authorized by the NBA changes.
• The NBA is advised to consider the impact of 7XX fields on its internally-used system (e.g., indexing, record maintenance) and consult with its system vendor prior to using 7XX fields.

Sample record:

```
1XX __ $a [Authorized NACO AACR2 form]
4XX __ $a [Variant form]
670 ## $a [Citation] $b t.p. ([Usage for 1XX]) p. 5 ([Usage for
           4XX])
7XX 17 $a [Alternate authorized form] $2 [Source code]
```


Current status of the 7XX in the NAF

NACO records containing 7XX fields are distributed by the LC Cataloging Distribution Service, as are all name authority records in the NAF. Currently, the records in the NAF with 7XX fields are those from the National Library of Canada as imported into the NAF by LC catalogers. The 7XX fields have been implemented in the LC ILS, but LC does not yet use the 7XX fields in its own cataloging.

LC/NACO practice: Allow the 7XX fields to remain in records unchanged.

952   Cataloger's Permanent Note

Content Designation

        Indicators: Both indicators are undefined.
        Subfield codes: $a   Cataloger's permanent note

General

        This is a local LC field.

        This field is repeatable.

        Use this field to record information about special local decisions made regarding the record.

```
151 ##   $a 6e Arrondissement (Paris, France)
952      $a Arabic ordinal number form per Desc Pol,
            July 12, 1983

952      $a eb02 consulted
```

        A note "Online," used for a period of time to identify newly created records that were candidates for unobtrusive quality review, was deleted programmatically during the conversion from MUMS.

        During the conversion from MUMS, a 952 note "RETRO" was added to records that had value "b" in MUMS fixed field box 43. This identifies records originally created as part of the retrospective project to convert manual LC authority cards to machine-readable form. The records may not contain all notes and references found on the original 3x5 cards.

        LC's Rare Book Team uses this field in some records to specify the subcollection name in the Rare Book and Special Collections Division.

```
110 2#   American Imprint Collection (Library of Congress)
952      RBSCD subcollection name = 852 $m: Am Imp
```

SARs

        Use this field to give information to aid in identifying series volumes and to tell other catalogers of necessary or possible actions to be taken when other volumes are processed. If the information is of permanent value and general interest that would be useful also to institutions outside of LC <u>and</u> to LC staff not working in the LC Database, give the information in a 667 field.

```
952   $a Aid for identification: most issues have note on
         t.p.: "A printed version of this judgment will be
         published shortly as volume ... of Series A
         of the Publications of the Court ..."

952   $a Do not analyze unbound issues within a volume.

952   $a Send vols. unchecked to Science and Technology
         Division.  Issues to be cataloged are forwarded
         by Sci-Tech
```

Use this field to give supporting information about treatment decisions. (See also 64X yellow pages.)

```
952   $a Rejected as a technical report per Sci.-Tech.

952   $a Analyze in full decision confirmed by Selection
         Office. [code and date]
```

This field was used formerly to give selection decision information. Now such information is given in 667 fields since the 952 field is not distributed and some LC staff consult SARs on other databases. Move this information to a 667 field when updating an SAR for another reason.

```
952   $a Not acquired in LC after 9-14-88.
```

953   Local Staff Codes

Content Designation

    Indicators: Both indicators are undefined.
    Subfield codes: $a   Code of staff creating record
                                 $b   Code of staff modifying record

General

    This field is a local LC field.

    This field is not repeatable.

    This field contains the cataloger codes of LC staff creating or modifying the record in the LC Database. This field is not added or updated in records added to the LC Database from other sources, e.g., the NACO nodes or LC's overseas offices.

    When creating a new record, input your cataloger's code in 953 $a. When revising a record that has a 953 field, add or adjust the code in 953 $b; if there is an existing code in 953 $b, replace it with your own code. When revising a record that does not already have a 953 field, add only a 953 $b; do not "make up" a 953 $a.

    Input codes as four characters: two lowercase letters and two numerals, e.g., ta18.

    During the conversion from MUMS, data in MUMS fixed field box 25 was transferred to 953 $a and data in MUMS fixed field box 26 was transferred to 953 $b. If there was no data in MUMS fixed field box 25, a "dummy" code of xx00 was generated in 953 $a.

958   Note -- Confidential Information

Content Designation

      Indicators   Both indicators are undefined |
      Subfield codes: $a   Confidential information

General

    This is a local LC field.

    This field is not repeatable.

    Use this field for confidential information that should be preserved in the record but should not be distributed outside LC, e.g.

```
958    $a d. of b., 1902, not to be used until after death of
       author, per author's request, Jan. 23, 1957--LC
       manual auth. cd.
```

985   Record History

<u>Content Designation</u>

     Indicators: Both indicators are undefined. |

     Subfield codes: $a   Agency that keyed record/Record history

                               $b   Network used for first level of keying

                               $c   Network transmitting record to LC

                               $d   Date record entered in original or transmitting network

                               $e   Responsible LC application

<u>General</u>

     This field is a local LC field.

     This field is repeatable.

     This field is generated for *new* records contributed from the NACO nodes or LC's overseas offices or loaded as a special project.

     985 fields containing outdated information about the contractor that originally keyed the record were deleted programmatically during the conversion from MUMS. |

     Do not change or delete this field.

APPENDIX FOR CANADIAN HEADINGS

1. General Overview.

1.1. Personal Name Headings:

LC catalogers: Headings for personal names are taken preferably from Canadian CIP data printed in the book. Personal names may also be taken from access points found on current NLC issued bibliographic records, including those found in the "resAnet" database at url: http://www.amicus.nlc-bnc.ca/wapp/resanet/searche.htm If the access point on the NLC bibliographic record or the Canadian CIP data is not clear, appears to need updating, or there is no CIP data available, search the AMICUS authority file. If the name is not found it is not necessary to ask NLC to establish a personal name heading; establish the personal name based on the information in the item, etc. as per usual.

PCC catalogers: Follow the guidelines above, if the personal name heading is not found no further NLC verification will be sought; establish the personal name based on the information in the item and the guidelines provided in Section 2 of this document.

1.2. Corporate Name Headings:

LC catalogers: New Canadian corporate names may be established from Canadian CIP data or from headings found on access points on current bibliographic records issued by NLC.   New Canadian corporate names not found in these two sources and corporate names not yet coded for AACR2 or coded AACR2 but lacking NLC verification or which are in conflict, must be verified by searching the AMICUS database. If the corporate name is not found in the AMICUS database, it will be necessary to ask NLC to supply the form of the heading and any attendant cross references.

PCC catalogers: New Canadian corporate names may be established from Canadian CIP data or from headings found on access points on current bibliographic records issued by NLC (as found in the bibliographic utilities or by searching the resAnet database). New Canadian corporate names not found in these sources and corporate names not yet coded for AACR2 or coded AACR2 but lacking NLC verification, or which are in conflict must be verified by searching the AMICUS database. If the corporate name is not found in the AMICUS database, the Coop liaison will ask NLC to supply the form of the heading and any attendant cross references. The PCC participant will create a NAR based on this information following the usual NACO procedures.

Alternatively, PCC participants may create the corporate name heading (keeping in mind the procedures outlined in Section 3 of this document) and contribute it to the national authority file and afterward notify their Coop liaison of the need for NLC |
verification. The PCC participants follow this course of action with the understanding |
that they may need to make modifications to the heading, etc. after their Coop liaison |
consults NLC. |

1.3. Conference Name Headings:

Use judgment in considering meetings held in Canada as "Canadian." For example, if an international conference happens to meet in Canada, it is not necessary to verify its heading according to these instructions.

1.4. Geographic headings:

The NLC form of the geographic headings will be used without modification (cf. LCRI 23.2) When a geographic heading is not found in Canadian CIP data, access points on current NLC bibliographic records, or by searching the AMICUS authority file NLC must be contacted in order to verify the form of the name.

1.5. CIP Cataloging:

When a Canadian corporate heading is needed for a CIP item and the heading is not found in the AMICUS database, LC cataloger's will create a NAR based on the information in the item, etc. save it to the database and then send a message to NLC for verification of the name.

1.6. Contacting NLC:

LC catalogers: NLC may be contacted through the NLC Division Liaison (cf., Section 9) |
or through the NLC Liaison in the Coop Team in RCCD. Catalogers should send an e-mail with the name in the exact form in which it appears on the publication(s), including any hierarchical information which may be available, give the date of the publication and, whenever possible, the source of the name, e.g., "t.p.," "incl. in title," "preface."

PCC catalogers: Participants will continue to request verification of NLC corporate |
names as needed. Participants may send an e-mail with the name in the exact form in |
which it appears on the publication(s), including any hierarchical information which may be available, give the date of the publication and, whenever

possible, the source of the name, e.g., "t.p.," "incl. in title," "preface," or the information may be faxed, etc.

The Coop liaison will contact NLC for verification of corporate name headings and subsequently return the information to the PCC participant for further processing. The Coop liaison will not adapt the NLC heading for inclusion into the LC Database on behalf of the external user nor should the NLC MARC identification code be used in the 040 of the name authority record created by the PCC participant.

2. Guidelines for Establishing Canadian Personal Names.

The NLC form is used for personal name headings on bibliographic records for items with Canadian imprints (i.e., the name of a Canadian city appears as the primary (first) place of publication) in the following cases:

> **A**. The heading is being newly established;
> <u>or</u>,
> **B**. The heading has been established but the AACR2 form has not yet been assigned, and the current form is not the AACR2 form that would be assigned based on information in the database being cataloged against (i.e., accept the NLC form instead of formulating an LC/PCC form)

2.1. Sources for personal name headings:

Canadian CIP data:

General: Look for the NLC form of heading in the Canadian CIP entry in the book. If found, create an NAR as usual, giving as the first 670 the title of the item being cataloged and cite the Canadian CIP entry in the 670 "Sources found" field. Cite also the Canadian CIP entry as part of the same 670, even if the information is exactly the same:

> e.g.: Social inequality, c1984: t.p. (Edward G. Grabb) Can CIP (Grabb, Edward G.)

> **LC catalogers**: If there is no Canadian CIP, search the AMICUS authority file. If the heading is found in the AMICUS authority file, import the record, editing it according to the "NLC Name Authority Record Adapt Procedures for LC Catalogers."

> **PCC catalogers:** If there is no Canadian CIP, send a message to the Coop

 liaison to execute an AMICUS search for the name in question. If information is found the liaison will return the information to the participant who will create the authority record as usual, based on the information supplied by the Coop Team. Cite the AMICUS database search according to the guidelines in DCM Z1, 670 field (e.g., NLC database, date $b hdg.:_____)

> **General:** If the NLC form is not found in these sources, establish the name according to usual procedures. Do not refer the name to NLC for special verification. Cite NLC and the date of the search in the 675 "sources not found" field.

> **Note:** CIP data may be found to be incorrect. Catalogers should use judgement in determining if additional searching is needed and/or if the heading should be accepted "as is."   In the interest of efficiency a quick decision is encouraged; however, do not query NLC on the form of the heading. If necessary establish the name according to usual LC practice and record the NLC form in a 670 citation.

> **Access points on current NLC bibliographic records:**

> **General:**   If the heading being formulated is found as an access point on a current NLC bibliographic record, catalogers may create an NAR based on that information. If the NLC bibliographic record is the same item being cataloged give as the first 670 the title of the item with subfield $b information as per usual. If the heading on the same titled NLC bibliographic record contains a date, fuller form of name, etc. not found in the item-in-hand use judgement in formulating a cogent citation.

> 670 $a When the fat man sings, 2002: $b t.p. (Liz McKeen) NLC hdg. (McKeen, Liz, 1952-)

> If it is not the same, cite the NLC heading in a second 670 citing the form of the heading and the usage found in the 245 of sufbield $c of the bibliographic record as per usual.

> 670 $a OCLC database, date $b (NLC hdg: Grabb, Edward G.; usage: Edward G. Grabb)
> **or**
> 670 $a resAnet database, date $b (NLC hdg: Grabb, Edward G.; usage: Edward G. Grabb)

> **2.2. Conflict with another personal name:**

> If the form found in the AMICUS authority file or in the Canadian CIP would conflict with another heading, do not use it. Instead, establish the name according to usual LC practice and record the NLC form in a 670 citation.

> **2.3. LC heading in LC database for Canadian personal name:**

If the existing LC heading matches the NLC heading except that the NLC heading includes a date, accept the existing LC heading as the AACR2 form, i.e., do not change the heading to add the date, and vice versa. (Dates added to personal name heading are <u>additions</u> to the heading and are not considered when comparing <u>forms</u>)

Note: When establishing a <u>new</u> heading and the LC or PCC cataloger has date information but there is no conflict, do not include the date whenever the NLC form does not show this addition.

2.4. Personal Name References:

For personal names, accept NLC references without justification; however, assure that these are formulated according to current LC conventions and practices (cf. DCM Z1, LCRIs Chapter 22 and 26, etc.). Justify any references generated by new cataloging as per usual.

3. Guidelines for Establishing NLC Corporate Names.

3.1. Capitalization/Punctuation:

 If the NLC form differs from the LC/PCC AACR2 practice for capitalization or punctuation, accept the NLC form.

3.2. Conferences:

 NLC establishes ongoing conferences with qualifiers for each individual conference. Delete these qualifiers and establish one authority record for the series of conferences (cf. LCRI 24.7B).

3.3. Corporate names exceptions:

If NLC indicates that the name is not a corporate body (e.g., a plan, a project) establish the heading according to the usual LC/PCC practice. Record the NLC decision in the 670 field.

NLC treats the Religious Society of Friends as a corporate body but LC treats it as a subject heading. LC/NACO practice is to establish Society of Friends "meetings," etc., directly under their own names whereas NLC establishes these entities

subordinately to "Society of Friends." NLC has agreed that LC/NACO libraries do not have to contact NLC for Canadian corporate bodies associated with the Society of Friends.

3.4. **French vs. English:**

 LC/PCC practice is to establish Canadian corporate names in English whenever possible, the exception being headings for Québec corporate names which LC establishes in French. NLC practice is to establish all corporate headings in both English and French whenever possible–meaning that the two forms appear on works they have in hand. This means for many headings, there are separate and complete authority records in the English form and in the French form. There may also be some headings with a combination of the French and English. It is always necessary to search for the English form in the AMICUS database for use in establishing the heading.

3.5. **Canadian Corporate Headings for Québec:**

In 1974 the government of Québec established French as the sole official language of the province. As a result, for LC/PCC, English headings for Québec government bodies are obsolete for the period that begins with the change of official language. For publication issued through the end of 1974, an English heading is proper. For publications issued 1975- , use a French heading.

NLC verifies two heading for bodies that existed before and after the 1974/75 dividing line: an English one (through 1974) and a French one (1975-)

In the case of headings for non-government bodies in Québec, also accept NLC's verification in French (even, for example, if the work being cataloged is in English). There are some purely English-language private bodies in Québec, and NLC verifies these in English. For those verified in French that cross the language policy divide, apply the provisions given above for government bodies.

If the French form is chosen as the appropriate heading and it includes a qualifying term that has been given in French, change the qualifying term to the English term given in the NLC English equivalent heading. (In such cases the heading will be a "combination" of the French and English NLC headings.)

If a corporate name in French contains the diphthong "oe" which appears in the NLC form as separate letters rather than as a ligature, use the NLC form in the

heading.

N.B. The system of counties no longer exists in Québec; the term Comté has been replaced by the new division Municipalité regional de comté.

3.6. Source for corporate name headings:

The AMICUS authority file is the source for establishing name headings for Canadian corporate bodies not found in Canadian CIP data or on access points on current bibliographic records (see Section 2.1 "Sources for Personal Name headings" for examples of 670 citations for headings created based on these sources)

> **LC catalogers**: If a corporate name hading is not found in the two sources above, or if the heading found appears to need updating or presents some other complication, search the AMICUS authority file through the Z39.50 access in the LC ILS. If a record for the heading is found, import the record, editing it according to the "NLC Name Authority Record Adapt Procedures for LC Catalogers." If a record is not found, send a request to NLC to establish the heading for LC use (cf. 1.5).

> **PCC catalogers:** If a corporate name heading is not found in the two sources above, or if the heading found appears to need updating or presents some other complication, search the AMICUS authority file, if the name is not found in the AMICUS authority file contact the Coop liaison for verification of the heading by NLC (cf. 1.5). Create the authority record as usual, based on the information supplied by the Coop Team. Cite either the AMICUS database or NLC according to the guidelines in DCM Z1, 670 field (e.g., NLC database, date \$b (hdg.:_____) or NLC, date \$b (hdg.:_____))

3.7. Corporate Name References:

Trace "see" references found on NLC NARs or as provided by NLC unless incompatible with other existing entries; trace "see also" references given by NLC according to normal guidelines (cf. LCRI 26.3B-C). **Justification of these references is not necessary** (cf. DCM Z1).   If a subfield \$w is found on a NLC NAR; analyze the reference to determine if this subfield is needed. Delete or adjust the subfield (or the reference) if it does not follow the current conventions in the *MARC 21 Authority Format* blue pages or the current cataloging policies.

Earlier/Later: When making connections between earlier and later corporate names, NLC formerly used simple "see also's," (no subfield $w coding used). If using an older NLC record, and If information is available, code the references earlier/later per LC practice.

Additional references may be given if required, justified according to normal practice.

4.1 Other general considerations:

Uniform titles (including series) are exempt from the LC/NLC agreement.

When modifying an existing NLC name authority record (i.e., 040 = $a CaOONL $b eng $c CaOONL $d DLC) which may contain MARC fields not generally created by LC/PCC catalogers (e.g., 016, 042, 7xXs) **do not delete** any of these fields unless these are found to contain errors.

NLC name authority record adapt procedures for LC catalogers

Section 1: Assumptions
Section 2: NLC name authority record "adapt" procedures for LC catalogers
Section 3: MARC 21 008 (fixed field) values for use with NLC Authority Records (NARs
Section 4: Accessing the AMICUS authority file via Z39.50
Section 5: Searching Hints For The Amicus Authority File
Section 6: ILS Database Searching Parameters
Section 7: Sample Searches
Section 8: Comparison Between the Builder Search Codes and the Keyword Search Codes
Section 9: Procedures for NLC Verification for PCC Participants
Section 10: List of NLC Liaisons in the Cataloging Directorate

Section 1: Assumptions:

1. The National Library of Canada's (NLC) authority file module of the AMICUS database will be made available as a remote database site in the System Administration module of the LC ILS so that it is available for catalogers to search via Z39.50 while in the cataloging module.

2. Catalogers will search Canadian corporate and personal name headings in the AMICUS authority file for verification of the heading form and to resolve complex authority record problems, conflicts, etc. involving Canadian name headings, when these fall into the parameters stated in this document. (Uniform titles (including series) are exempt from the LC/NLC agreement)

3. When a corporate name heading is **not** found in the AMICUS authority file, catalogers will continue to request verification from NLC, via the established procedures (e.g., forward heading requests to a NLC Division Liaison or directly to the Coop Team in RCCD who will in turn contact NLC and request that the heading be established (cf. DCM Z1 Appendix for Canadian headings, Section 1.6 for more information.)

4. It is not necessary to request NLC verification for personal name headings if these are not found in the AMICUS authority file.

5. When the appropriate name authority record (NAR) is found in the

AMICUS authority file, the LC cataloger will "adapt" the NAR (cf. attached guidelines) and add the NAR by clicking on the sailboat icon to save it to the LC database.
6. Statistics will be kept to allow the inclusion of the NLC "adapted" NARs in the Coop Team's statistical reports. (See Section 2, K)

7. Procedures will be developed to assure that the AMICUS password is changed every six months (as per current procedures) without loss of access to the NLC database.

8. PCC participants will continue to request NLC verification for corporate name headings through the Coop Team. (See Section 9)

9. Notification that NLC adapted name authority records will be added to the NAF and distributed to the copy holding partners (OCLC, RLG, and BL), PCC participants, CDS customers, etc. through the appropriate channels. This notification will include guidance on any interaction to be taken by users of the file (e.g., not removing fields unless these are erroneous)

Section 2: NLC name authority record "adapt" procedures for LC catalogers

Once the desired name authority record is found for an NLC corporate or a personal name it is incumbent upon the cataloger to examine the record carefully and assure that all fields comply with the current conventions and cataloging practices for creation of a new name authority records **before saving it** to the LC Database (Cf.: *Anglo American Cataloging Rules* 2ed. rev., Chapters 22-26, *Library of Congress Rule Interpretations* (LCRIs) Chapters 22-26, *MARC 21 Authority Format*, *LC ILS Bibliographic Workflow Training Document* no. 6, *Descriptive Cataloging Manual* (DCM) Z1, Appendix for Canadian headings).

A. **008**:   Examine carefully and assure that the coding follows the MARC 21 conventions (see the attached guide). **Note** the bytes for "Romanization Scheme" (008/07) and assure that it is set to the fill character**;** "Language of cataloging" (008/08) is set to blank or underscore; "Subject heading" (008/11) is set to a; and that "Govt. Agency" (008/28) is set to the fill character. (These values are known to differ from current LC practice; * refer to Sec. 3 footnote for this byte).

B. **Do not routinely delete any fields** (MARC tags) from the NAR unless these are found to erroneous or can be identified as non-MARC 21 tags.

C. **010:** Add an LCCN using the barcode labels specifically designed for NARs.

D. **040:** Add a subfield $d DLC and assure that the subfield $b is set to "eng."

E. **053:** If found, adjust to conform with the LC shelflist and change indicator to 0.

F. **1XX:** Accept the heading "as is" unless modifications are necessary to conform with the principles set out in DCM Z1, Appendix for Canadian headings.

Note: NLC uses tags 110 for geographic headings instead of 151, adjust the tag to 151 before saving the record to the ILS database.

G. **4XX-5XX**:
   Normally do not delete any 4xxs or 5xxs; however, adjustments may be made as necessary to conform to the current cataloging practices (e.g., add dates and/or qualifiers to references if these are included in the heading) and the conventions stated in DCM Z1, Appendix for Canadian headings.

   Check the subfield $w (if one is present) and assure that all the values assigned follow the current conventions for that subfield stated in the *MARC 21 Authority Format.* Do not attempt to convert the extant $w data; analyze the reference and determine what coding is needed.   If necessary delete the subfield $w or the entire field.

   Add other 4XX or 5XX when necessary to reflect information found on the item-in-hand, any research performed, etc. (cf., DCM Z1, Appendix for Canadian headings for complete instructions).

H.   **6XX**: Adjust 670s to reflect the current conventions set out in DCM Z1 for creation of NARs (e.g., add subfield b information when cataloging the same title, etc.)   Add a 670 for the book in hand if it is a **different title and it provides more** or variant information. Add other 670s and/or 675s as needed. **Delete 665 notes**; these may be converted to 670s.

I. **7XX**: Do not **delete or adjust any 7XXs**. Analyze the information and if appropriate add a 4XX reference to the NAR based on the 7XX data in accord with current LC cataloging policies and the principles set out in DCM Z1 Appendix for Canadian Headings, p. 7-8.

J. **9XX**: Add a 953 with your cataloger's code.

K. **Save** the record to the LC Database, by clicking on the sailboat icon.

L. **Keep a tally** of all NLC headings added to the LC Database and send these to the Cooperative Cataloging Team on a weekly basis.

Section 3: MARC 21 008 (fixed field) values for use with NLC Authority Records (NARs)

LC-ILS	MARC21	Value in bold-type is the valid value when adapting NLC NARs. When in doubt check the *MARC 21 Authority Format*
Leader:		
Status (Record status)	05	**n**=(new)
Enc/l (Encoding level)	17	**n**=(verified record) o=early notice record; **if used-- add 667 field**
008:	**008:**	
Subdivision	008/06	**n**=(not applicable)
Language of cataloging	008/08	**underscore or blank** is valid value
Cataloging rules	008/10	**c**=(AACR2)
Type of series	008/12	**n**=(not a series)
Heading use boxes:		
Main or added entry Subject added entry Series added entry	008/16	**Check all boxes except** for Series added entry
Personal name	008/32	**May be set to any of these; adjust if necessary** a=unique personal name b=nonunique name n=not a personal name
Modified record	008/38	**underscore or blank** is valid value
Romanization scheme	008/07	**fill character** is ONLY valid value; unless hdg. is Chinese*
Kind of record	008/09	**a**=(established)
Subject heading	008/11	**a**=(LCSH)
Numbered series	008/13	**n**=(not applicable)
Subject subdivision	008/17	**n**=(not applicable)
Govt. agency	008/28	**fill character** is ONLY valid value
Reference evaluation	008/29	**May be adjusted if references added or deleted**; **a**=references evaluated b=refs. not evaluated (not valid value for NLC) **n**=no references
Record update	008/31	**a**=is default b=rec. being updated; **if used add 667 note**

Level of establishment	008/33	**a**=is default; **may be adjusted if necessary** b=memo c=provisional d=preliminary n=not applicable
Cataloging source	008/39	**underscore or blank is only valid** value for NLC records

*for a Chinese language hdg. romanized according to LC's rules for Pinyin or Wade-Giles use

Section 4: Accessing the AMICUS authority file via Z39.50

1) Click on the voyager 2000 icon and then follow the usual procedures to
access LC/ILS cataloging session.

2) After opening a session of the Voyager 2000 cataloging module click on
 the Search icon. A search box will appear **(figure 1)**. Select remote.
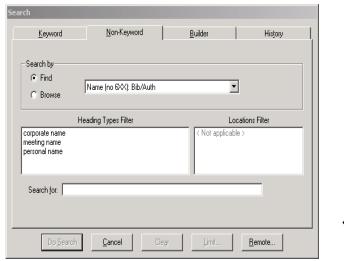
Figure 1

3) An available Locations box will appear **(figure 2)**. Scroll down until you
find <u>NLC Authority File</u>. Highlight and left double click in the box at NLC
Authority File, a check mark will appear in the box by the name and NLC
Authority File will appear in the selected locations box then press the
Connect button.
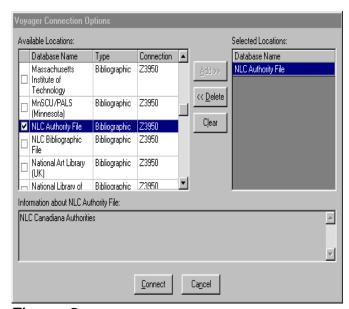
Figure 2

4) A search box labelled Remote Search: NLC Authority File will appear (**figure 3**). Select the Non-keyword or Keyword tab to begin your search for NLC authority records. If an NLC authority record is found adapt the record to LC procedures and then boat the record. (See: NLC adapt procedures: Section 2)
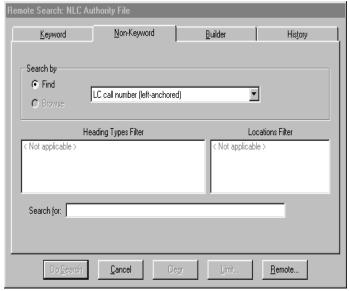

Figure 3

Follow the instructions for Non-keyword or Keyword tab searches in Section 5 below.

Section 5: Searching Hints for the Amicus Authority File

Searches from either the Non-keyword tab or the Keyword tab will retrieve National Library of Canada (NLC) authority records. Depending on the search used hit counts may vary. A list of searching parameters appear in Section 6.

 A) Non-Keyword Tab Search:

1) Click on the down arrow at the search by box to retrieve a list of options such as:

> Author [left anchored]
> Conference name [left-anchored]
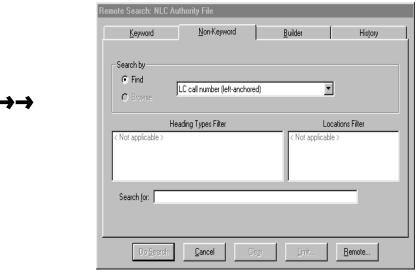> Corporate name [left-anchored]
> Personal name [left-anchored]

Figure 4

2) Choose the option that fits the type of search. For instance if searching for a personal name you can click on: Author [left-anchored] OR Personal name [left-anchored].

3) Next, in the <u>search for</u> box type the name of the author beginning with last name (e.g., wesche, rolf). Press the enter key to retrieve records. If an authority record is found adapt the record according to LC procedures and then boat the record.
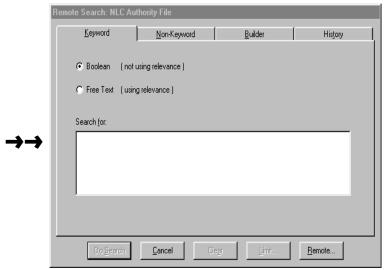
B) KEYWORD TAB SEARCH:

↓↓↓↓↓

Figure 5

1) One can retrieve an authority record via the following commands
 listed below. Choose the appropriate command for the type of search.
The commands are not case sensitive therefore letters may or may not
eed to be capitalized. Make sure that "Boolean" is highlighted
(see **figure 5**). NALL can be used to search a personal or corporate
heading.

> **NALL Author (left-anchored)**
> **100H Personal name (left-anchored)**
> **110H Corporate name (left-anchored)**
> **111H Conference name (left-anchored)**
> **ISSL ISSN (left-anchored)**

2) Searches should be right truncated by use of the question mark. Use
 quotation marks if the search term contains more than one word.
Example of an Author (left-anchored) search from the <u>keyword </u>tab is
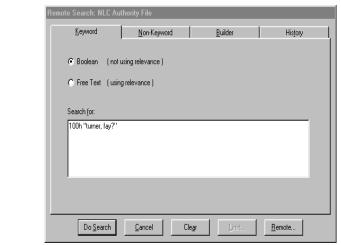shown in **figure 6**.

Figure 6

Another keyword NLC Authority File suggested search (**figure 7**):
a single surname which would be a one word search. The
quotation marks are not necessary around the search string
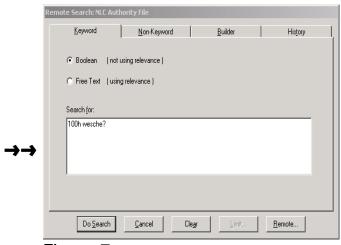when constructing a one word search.

Figure 7

Section 6: ILS Database Searching Parameters:

1) When using the Keyword tab, quotation marks should precede and
follow the search term if it contains more than one word. If right truncation
 is desired, the "?" should be placed at the end of the search term before
the closing quotation mark.

2) When using the <u>Non-keyword</u> tab, quotation marks and the question
mark are not necessary. The search is automatically sent inter-site as a
phrase search with right truncation.

Section 7: Sample Searches

In the examples below, identical searches are indicated– first using a
NON-KEYWORD search selection and second using a KEYWORD search.
The "Author" search can be used to search any of the three combinations:
Personal names, corporate names, and conference names.

Author (left-anchored) NALL	banff centre "banff centre?"
Author (left-anchored) NALL	wesche wesche
Personal name (left-anchored) 100H	turner, fay "turner, fay?"
Conference (left-anchored) 111H	banff summer "banff summer?"
Corporate (left-anchored) 110H	banff centre library "banff centre library?"
Title (left-anchored) TALS	canadian literature "canadian literature?"
ISSN (left-anchored) ISSL	1206-4912 "1206-4912"
LC call number left-anchored) 05XX	qa76.w4 "qa76.w4?"
Subject (left-anchored) SALL	glacier glacier?

Section 8: Comparison Between <u>Non-Keyword</u> and <u>Keyword</u> searches

Codes:
The search codes in a non-keyword search has the same meaning as those
in the keyword search. The only difference is that with the keyword search
one must type in a search command whereas in non-keyword one can
choose from a list provided in a drop down menu.

KEYWORD SEARCH CODES	NON-KEYWORD SEARCH CODES
NALL	Author (left-anchored)
111H	Conference name (left-anchored)
110H	Corporate name (left-anchored)
ISSL	ISSN (left-anchored)
05XX	LC call number (left-anchored)
100H	Personal name (left-anchored)
SALL	Subject (left-anchored)
TALS	Title (left-anchored)

Please contact Larry Dixson (ldix@loc.gov) if you have questions about Z39.50 searching in Voyager.

Section 9: Procedures for NLC Verification for PCC Participants

PCC Participants will continue to request verification of NLC corporate name headings via e-mail or through the OCLC National Review file as is currently the practice for individual libraries. The Coop Team's liaison for the institution will search the heading via the Z39.50 procedures or via the Web according to individual preferences. If the heading is found, the information is returned to the PCC Participant for further processing as per current procedures. The COOP liaison will <u>not</u> adapt the NLC heading for inclusion into the LC Database on behalf of the external user. If the heading is not found the COOP liaison will contact NLC for verification of the heading as per the current procedures.

Section 10: List of NLC Liaisons in the Cataloging Directorate

NAME	DIVISION	TELEPHONE
1) Brown-Allen, Diana	ASCD	7-5555
2) Doughty, Beth	SRD	7-6429
3) Gilliam, Gracie	RCCD	7-2250
4) Habib, Mary Ann	SMCD	7-2428
5) Hemingway, Brenda	SSCD	7-1897
6) Thompson, Kimberly	HLCD	7-3465